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RECEIVED
AUG 18 2006
OFFICE OF PETITIONS

August 1, 2006

Via Hand Delivery
Heather F. Auyang, Esq.
Office of the General Counsel/Office of the Solicitor
United States Patent and Trademark Office
10B20, Madison Building East, 600 Dulany Street
Alexandria, Virginia 22314

RECEIVED
AUG 24 2006
OFFICE OF PETITIONS

Re: *Trading Technologies Int'l Inc. v. GL Trade Americas, et al.*
Case No. 05-C-4120: Demand for Deposition of Examiner Weisberger

Dear Ms. Auyang:

We are counsel for Defendants GL Trade Americas, Inc., et al. ("GL") in the above-captioned action. We have organized the documents listed below in production number order in preparing for the upcoming deposition of Examiner Weisberger. We believe this may be of assistance to you as well as the other parties and will hopefully contribute to an efficient deposition on Friday.

TT0099444
TT0099446
TT0099447
TT0099448
TT0099449
TT0099450
TT0099453
TT0099454
TT0099458
TT0099459-460
TT0099461-462
TT0099464
TT0099467-468
TT0099471
TT0099472
TT0099473-474
TT0099480
TT0099481-489
TT0099490

TT0099491
TT0099493-494
TT0099497-498
TT0099500
TT0099502
TT0099503
TT0099504
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TT0099510
TT0099511-512
TT0099513
TT0099514
TT0099516
TT0099519-520
TT0099522
TT0099524-525
TT0099526
TT0099532-533
TT0099534
TT0099535
TT0099548-550
TT0099551-555
TT0099557-559
TT0099560
TT0099561
TT0099562
TT0099564
TT0099565
TT0099566-568
TT0099569-570
TT0099571-572
TT0099573-574
TT0099576
TT0099580-582
TT0099583-584
TT0099585
TT0099588
TT0099589-590
TT0099591
TT0099597
TT0099598-599
TT0099604-608
TT0099609-611
TT0099615-616
TT0099617
TT0099618
TT0099619-640
TT0099641-642

In addition to the above documents, we have discovered a number of documents relating to the file histories that were not part of our previous correspondence but that we would like to question Examiner Weisberger. The documents are:

- ELLIS00574 – one page PTO-413 Form, Interview Summary of March 13, 2003;
- TT0101178 – one page email of 4/4/2006 from Karyon Owen to Examiner Weisberger regarding reconstructing patent files;
- TT0101826-TT0101915 – Email with attached documents from Mark Triplet to Jackie Waldo at USPTO regarding reconstruction of missing documents from file wrappers;
- TT0100795-email exchange with Examiner Weisberger;
- TT100805-806-email exchange with Examiner Weisberger;
- TT100808-email exchange with Examiner Weisberger;
- TT100820-824-email exchange with Examiner Weisberger; and
- TT100872-email exchange with Examiner Weisberger.

Please let me know if you have any questions or comments.

Sincerely,

Lora A. Moffatt

LAM/elp

cc: Walter Scott, counsel for GL Trade Americas
Jennifer Kurcz, counsel for Trading Technologies (by overnight delivery)
Raymond C. Perkins, counsel for eSpeed (by overnight delivery)
Nina Wang, counsel for CQG (by overnight delivery)
Geoffrey A. Baker, counsel for Rosenthal Collins (by overnight delivery)

DIVIDER PAGE

From: Weisberger, Richard [Richard.Weisberger@USPTO.GOV]
Sent: Thursday, February 26, 2004 1:52 PM
To: Steve Borsand (TT)
Subject: RE: Unacknowledged IDS forms
I;ll have to pick this up with you tomorrow.

-----Original Message-----
From: Steve_Borsand@tradingtechnologies.com [mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, February 26, 2004 9:41 AM
To: Weisberger, Richard
Subject: FW: Unacknowledged IDS forms

Richard -- Following up on my voicemail yesterday, below is an list of the IDS that were filed in the 590,692 and 894,637 that we have not received acknowledged forms. If they have been signed, could you fax us copies? Otherwise, we deliver copies of the forms to you. I will follow up with you by phone.

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, June 26, 2002 4:01 PM
To: AShah@folcylaw.com
Subject: RE: 09/590,692

It turns that our meeting was scheduled for two days. I'll call you when upon its completion.

Richard --

-----Original Message-----
From: AShah@folcylaw.com [mailto:AShah@folcylaw.com]
Sent: Wednesday, June 26, 2002 3:19 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

We were anxious to find out the latest developments and learn the good news today. I just left you a voice-mail to that effect. I look forward to hearing from you. Thanks.

-Ankur D. Shah

—Original Message—
From: Shah, Ankur D.
Sent: Thursday, May 09, 2002 6:09 PM
To: 'Richard.Weisberger@USPTO.GOV'
Subject: RE: 09/590,692

Thanks. Can we find out how your meetings went? Is the case back on track for allowance? Can I help in any way?

-Ankur D. Shah

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, May 09, 2002 5:40 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

work in progress

—Original Message—
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Thursday, May 09, 2002 9:30 AM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard -

Any news? Please update me. Thanks.

-Ankur D. Shah

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, May 09, 2002 11:03 AM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

i should have an update by the end of the day.

—Original Message—
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Monday, May 06, 2002 4:09 PM
To: richard.weisberger@uspto.gov
Subject: 09/590,692

Hello Richard:

I just left you a short voice-mail. You had indicated that we could talk today at 4:00pm about the subject case. I just wanted to find out how your meeting with Jack Harvey went and what may need to be done at this point to move the case forward.

Also, I wanted to ask you about the status of the divisional to the subject case in which we filed a petition to make special last August (09/894,637). It apparently just needs to be forwarded to Exr. Pinchus Laufer (703/306-4160) for the petition to be acted upon.

Please let me know about these things by e-mail or voice-mail. Thanks for your assistance.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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-----Original Message-----
From: Shah, Ankur D.
Sent: Wednesday, July 03, 2002 2:53 PM
To: 'Richard.Weisberger@USPTO.GOV'
Subject: RE: 09/590,692

Richard:

I tried to contact you a few times yesterday and today, sometimes with my client on the line as well, regarding the Notice of Allowance that was to have been mailed early this week. I left you a voice-mail yesterday regarding the same.

Please let me know the situation. Based on your e-mail from last week, the president of the company was expecting that we would have be able to confirm that the case had been allowed before the 4th of July holiday.

Any information you can provide would be helpful.

Thank you.

-Ankur D. Shah
(202) 945-6132

—Original Message—
From: Shah, Ankur D.
Sent: Thursday, June 27, 2002 5:20 PM
To: 'Richard.Weisberger@USPTO.GOV'
Subject: RE: 09/590,692

Richard:

Thank for you this positive information.

Regarding the subject case in which the Notice of Allowance will be issued early next week, you are no doubt aware of the sense of urgency associated

TT 0099459

with it and of my client's strong interest in its prosecution. Accordingly, please send me a copy of the Notice of Allowance via facsimile as early as possible next week. My facsimile number is (202) 672-5399. We will then await receipt of the official notice by U.S. mail.

Also, regarding the other cases you mentioned below, I have those files in my office and am ready to work with you on rapidly advancing their prosecution.

Best regards.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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—Original Message—
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Friday, July 12, 2002 10:11 AM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Hello Richard:

I just tried calling but your voice-mail was full. How did you do that?

I informed our client last Wednesday evening, July 3rd, of the good news after you faxed me a copy of the Notice of Allowability. Based on your e-mails, I expected to have received the original Notices of Allowance and Allowability in the mail by now. Our firm hasn't received it and according to the PTO computer, nothing has been sent out.

Please contact me by telephone or e-mail to let me know the status.

TT 0099461

Thank you.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Monday, May 06, 2002 5:12 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

Ankur --

The meeting was rescheduled for Wednesday. I'll update you via email later that afternoon.

Richard --

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Tuesday, May 14, 2002 3:49 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

Ankur:

For reasons I prefer not to discuss, an impediment to the allowance of this case will be overcome. I should be able to wrap it up by Tuesday May 21.

-- Richard

—Original Message—
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Tuesday, May 14, 2002 3:38 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

Can we get any information on the progress of subject case or on the movement of the divisional to the petitions examiner (see below)? Thanks in advance.

-Ankur

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Monday, June 24, 2002 4:08 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

Ankur :

I'm out of the office today. I'll call you tomorrow afternoon (I should have favorable news). Can you forward the serial number and filing date for the specification incorporated by reference on page 8 of the instant specification.

Richard --

How are mother and child?

-----Original Message-----
From: AShah@folcylaw.com [mailto:AShah@folcylaw.com]
Sent: Friday, May 31, 2002 2:31 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

Per our discussion, the information for forwarding the divisional app. is at the bottom of this e-mail chain. I look forward to hearing from you on Monday or Tuesday of next week. Thanks.

-Ankur D. Shah

-----Original Message-----
From: Shah, Ankur D.
Sent: Tuesday, May 21, 2002 3:16 PM
To: 'Richard.Weisberger@USPTO.GOV'
Subject: RE: 09/590,692

TT 0099473

Hello Richard:

Can you update me on the progress of the case? Thanks.

-Ankur D. Shah

TT 0099474

——Original Message——
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, July 03, 2002 5:50 PM
To: ASbah@foleylaw.com
Subject: RE: 09/590,692

I think I mentioned to you that I'm studying for a Master's in Finance. Anyway, I tend to keep odd office hours. If you are still there, I can FAX you a copy of the Notice of Allowance.

Richard --

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, July 12, 2002 12:16 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

I check on it today (I've been out on holiday).

PS I have over 200 cases on my docket. If you multiply that by the number of times that you called, you can see how ones voice mail can fill.

Richard -

-----Original Message-----
From: Shah, Ankur D.
Sent: Tuesday, July 16, 2002 4:12 PM
To: 'Richard.Weisberger@USPTO.GOV'
Subject: RE: 09/590,692

Richard,

We await your update regarding the mailing of the official Notice of Allowance and Notice of Allowability, a copy of which you faxed to me on July 3, 2002.

Thanks.

-Ankur D. Shah

-----Original Message-----
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Thursday, July 18, 2002 4:21 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

We just tried reaching you by telephone and your mailbox is still full. The PTO customer service representative said that the notice of allowance had not yet been mailed.

It has now been over two weeks since your fax and three weeks since you indicated that it would be mailed. Please let me know if there is any problem. I might be able to help.

The delays in this case have been significant and patent term extension won't be of much use in this technical field. Of utmost importance is that the patent be able to issue promptly so that we can help our client stop the present infringement of their technology.

Your response is urgently sought.

Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, July 19, 2002 3:21 PM
To: AShah@folcylaw.com
Subject: RE: 09/590,692

I'll personally walk it through the mail room on mooday?

Richard

—Original Message—
From: Shah, Ankur D.
Sent: Friday, July 19, 2002 3:35 PM
To: "Richard.Weisberg@USPTO.GOV"
Subject: RE: 09/590,692

Thank you. That would be appreciated. I will let my client know.

Best regards.

-Ankur D. Shah

-----Original Message-----
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Wednesday, July 24, 2002 2:24 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

If you did indeed follow through on your e-mail below and had it mailed out on Monday, thank you. According to the USPTO computer, however, nothing was mailed out. This is causing much consternation at this end.

You indicated the case had been allowed and, on July 3rd, faxed us a copy of the notice of allowability. We were simply awaiting the official notice of allowability and notice of allowance and issue fee due papers. I don't have any explanation to provide my client as to why nothing has yet been received, since presumably your substantive work has been completed. If there is a problem, I am not quite sure what it might be.

Please respond. Thanks.

-Ankur D. Shah

——Original Message——
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, July 24, 2002 4:53 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

I'm out of the office today; will check on the mail status tomorrow.

Rich

-----Original Message-----
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Thursday, July 25, 2002 6:55 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

I hope you were able to resolve the problem today. Please let me know.

If not, I would like to schedule a meeting with you for this coming Monday so that I can come there personally and we can address and resolve any remaining issues. While perhaps unorthodox, at this point, such a meeting and visit are warranted in view of the importance of the patent to my client, the ongoing infringement of their technology and the sheer number of delays to which the prosecution of this application has been subjected.

Your prompt response is appreciated.

Best regards.

Ankur D. Shah

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, July 26, 2002 2:12 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

Ankur-

According to my docket clerk the case has been forwarded to the mail room.
Check the palm system Monday.

Richard

—Original Message—
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Tuesday, June 25, 2002 10:08 AM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692

Richard:

Mother and daughter are fine. I am a bit sleepy.

TT 0099490

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Tuesday, June 25, 2002 2:51 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

I had an unscheduled meeting today with the Federal Reserve Bank. I may not be able to speak with you today. If not, I'll contact you tomorrow.

Richard --

PS Her mother's looks, I pray.

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, June 27, 2002 4:56 PM
To: AShah@foleylaw.com
Subject: RE: 09/590,692

Ankur -

No new prior art was found showing the combination of features of the MD software characterized in claims 22,29 and 35, and the Notice of Allowance will be mailed early next week, In addition, I've ordered SN 09/971087 and 09/894637. Let's see if we can quickly dispose of these cases. Lastly, I'm looking at 09/589,751 to see if the lack of the static pricing display presents issues under 112 1st or 2nd and/or 103.

Richard

-----Original Message-----
From: Shah, Ankur D.
Sent: Thursday, September 26, 2002 4:09 PM
To: 'Richard.Weisberger@USPTO.GOV'
Cc: Steven F. Borsand (E-mail)
Subject: Amendments (09/894,637; 09/589,751; 09/971,087)

Richard -

We have the amendments in the three cases ready to fax to you. Please give me call and we will fax it to you immediately.

Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@folcylaw.com

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-----Original Message-----
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Tuesday, October 01, 2002 6:13 PM
To: Richard.Weisberger@USPTO.GOV
Subject: Interview Summaries and Reasons for Allowance

Hi Richard:

I await to hear from you regarding the Interview Summaries and language for Reasons for Allowance. I think the deal you proposed during the Interviews was prompt Interview Summaries in exchange for our submissions of Amendments. Please let me know where this stands. Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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From: Shah, Ankur D. [AShah@foleylaw.com]
Sent: Wednesday, September 11, 2002 4:50 PM
To: Richard.Weisberger@USPTO.GOV
Cc: Steve Borsand (TT)
Subject: Scheduling Interviews (09/589,751;09/894,637;09/971,087)

Richard:

You have my condolences on this anniversary of the tragedy.

We tried calling you a few times today without much luck.

So that my client can make the necessary travel arrangements, I propose we schedule the interviews for Wednesday, September 18th in the afternoon. This will allow us enough time to discuss the issues and made any changes necessary to place the cases in condition for allowance before the end of the month.

Please let me know by e-mail or voice-mail if this is agreeable to you. We can still discuss the cases by telephone this week to remove some issues in advance if you like.

Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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From: Shah, Ankur D. [AShah@foleylaw.com]
Sent: Friday, September 27, 2002 2:44 PM
To: Richard.Weisberger@USPTO.GOV
Cc: Steve Borsand (TT)
Subject: RE: Amendments (09/894,637; 09/589,751; 09/971,087)

Richard:

I assume you have now received and reviewed the amendments faxed yesterday and hand-carried today.

We need to talk to you today to ensure that everything is in order and to address any final issues, such as:
1) The language of the interview summary and Reasons for Allowance remarks in the Notice of Allowability
2) The manner in which you will be dealing with the effective reopening of prosecution in the 09/589,751 case after the Ex parte Quayle action, the corresponding withdrawal of the double patenting rejection and the revocation of the now unnecessary terminal disclaimer in that case.

I have tried calling you but got voice-mail.

Please give me a call soon. Thanks.

-Ankur

From: Shah, Ankur D. [AShah@foleylaw.com]
Sent: Wednesday, October 02, 2002 12:41 PM
To: Richard.Weisberger@USPTO.GOV
Cc: Steve Borsand (TT)
Subject: RE: Interview Summaries and Reasons for Allowance

Richard:

I just received the fax of the Interview Summaries. Thank you.

The reason I mentioned Reasons for Allowance was not to negotiate, but rather to follow-up on our discussion Friday regarding the withdrawal of the double patenting rejection and the terminal disclaimer in the 09/589,751 case. I believe we had discussed that you would include language either in the Interview Summary or in the Reasons for Allowance to the effect that the double patenting rejection was withdrawn in view of the agreement reached regarding the claim amendments, and that the Terminal Disclaimer was no longer necessary. This will support our filing of a petition to revoke the Term. Discl. and the PTO granting the same.

Also, please let me know what you find out from your supervisors regarding the Terminal Disclaimer and whether we should go ahead and file the petition to revoke it. We don't want to delay matters by making any unnecessary filings.

Thanks.

Best regards.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

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From: Richard.Weisberger@USPTO.GOV
Sent: Wednesday, February 04, 2004 10:49 AM
To: Steve Borsand (TT)
Subject: RE: 09/894,637

I'll check that as well.

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, February 04, 2004 11:48 AM
To: Weisberger, Richard
Subject: 09/894,637

Richard – one more thing, the public pair system does not show a terminal disclaimer being entered or any of the recently filed IDSs.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Tuesday, September 24, 2002 4:15 PM
To: Steve Borsand (TT)
Subject: RE: 09/894,637 et al.

Steve --

I have your FAX. I'll try to get to you this afternoon. If not, I'll call you in the morning.

Richard --

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, September 24, 2002 12:22 PM
To: richard.weisberger@uspto.gov
Subject: 09/894,637 et al.

Richard -- I sent you a fax this morning with proposed changes to the claims for 09/589,751. Can we talk today by phone re: all three cases?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Tuesday, March 18, 2003 4:00 PM
To: Steve Borsand (TT)
Subject: RE: 09/590,692 et al.

Steve -

I'll call you between 4:00 and 4:15.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, March 18, 2003 4:24 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

Richard -- I was hoping we can pick a time tomorrow to talk. I can be available any time that is good for you.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Weisberger, Richard [Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, October 08, 2003 3:34 PM
To: Steve Borsand (TT)
Subject: RE: 09/690,052 et al.

Steve,

Sorry. I decided to take most of the week off. I'm scheduling a wrap up meeting quality for next Wednesday. I hope to remove the flag on that day.

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, October 07, 2003 10:30 AM
To: richard.weisberger@uspto.gov
Subject: 09/690,052 et al.

Rich -- I am hoping we can talk today about status. Several weeks ago we agreed to talk on 10/3.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
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fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Monday, March 03, 2003 10:48 AM
To: Steve Borsand (TT)
Subject: RE: 09/590,692 et al.

Steve -

My schedule is very tight both today and tomorrow. I'm available Wednesday afternoon, between 1:00-5:00. We can pick it up from there.

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, March 03, 2003 8:45 AM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

Richard – I would like to talk with you regarding these cases and the new references. Are you available to talk today or tomorrow? Also, I am going to be travelling to the east coast possibly next week and I would be happy to meet in person to try to reach closure on these cases (for that matter, I can come anytime that suits your schedule).

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Tuesday, December 17, 2002 11:00 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: 09/590,692 et al.

I've been in sunny warm Miami this past week. I'll check the status of your cases this week.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 17, 2002 10:32 AM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Richard – Have you had a chance to look at the new references that we cited? I would like to talk with you about these at your convenience.

Thanks,

Steve

Steven F. Boesand
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ph: +1.312.476.1018
fax: +1.312.476.1182
steve.boesand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Monday, August 25, 2003 3:39 PM
To: Steve Borsand (TT)
Subject: RE: 09/590,692 et al.

Steve -

I'll give you a ring tomorrow.

Richard

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, August 25, 2003 2:12 PM
To: Richard.Weisberger@uspto.gov
Subject: 09/590,692 et al.

Rich -- Could you please give me a call? I would just like to get a status on what is going on in the quality review of the various cases. I will try to reach you by phone as well.

Thanks,

Steve

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Vice President, Intellectual Property
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ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Friday, April 25, 2003 11:00 AM
To: Steve Borsand (TT)
Subject: RE: 09/590,692 et al.

Yes. The cases are scheduled to be reviewed within the three weeks. Again, I do foresee any issues, as I am co-editing with the reviewer an internal news letter on the patent board's business method decisions. We have a very strong working relationship.

Richard --

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Friday, April 25, 2003 10:14 AM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Richard -- Did you find anything out yesterday re: the status of our cases in quality review?

Thanks, Steve

Steven F. Borsand
Vice President, Intellectual Property
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ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Tuesday, January 13, 2004 11:17 AM
To: Steve Borsand (TT)
Subject: FW: Can i stop my this afternoon to follow up on a removing a fla g?

Steve -

I was unable to schedule a meeting with Quality yesterday or today, as you can see I have scheduled for tomorrow. Richard
> ----Original Message----
> From: Weinhardt, Robert
> Sent: Tuesday, January 13, 2004 12:11 PM
> To: Weisberger, Richard
> Subject: RE: Can i stop my this afternoon to follow up on a removing
> a flag?
>
> Tomorrow would be better. Had an 8:30-12 meeting this morning then
> another meeting this afternoon. Tomorrow is wide open.
>
> ----Original Message----
> From: Weisberger, Richard
> Sent: Tuesday, January 13, 2004 11:07 AM
> To: Weinhardt, Robert
> Subject: Can i stop my this afternoon to follow up on a removing a
> flag?
>
>

From: Richard.Weisberger@USPTO.GOV
Sent: Wednesday, March 19, 2003 11:36 AM
To: Steve Borsand (TT)
Subject: RE: 09/590,692 et al.

Steve -

Please consider the following amendment in combination -

said dynamic display of bids and asks traversing said static price column in response to changes in the inside market,

said column static price axis responsive to a one click centering feature that re-centers the inside market of the traders screen,

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com [mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, March 19, 2003 12:06 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

I am faxing them right now.

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, March 19, 2003 10:32 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: 09/590,692 et al.

Steve,

The RCE requests for 09/590,692 and 09/894,637 have not been matched to their files. Can you fax a copy to me at 703 872 9025?

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com [mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, March 18, 2003 4:24 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

Richard -- I was hoping we can pick a time tomorrow to talk. I can be available any time that is good for you.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
phr +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Wednesday, October 02, 2002 11:22 AM
To: AShah@foleylaw.com
Cc: Steve Borsand (TT)
Subject: RE: Interview Summaries and Reasons for Allowance

Ankur

The cases have been submitted for allowance. The interview summary records should have been faxed. I'll have each faxed again. As for the reasons for allowance, as discussed, the contents thereof are not of record until the case has been reviewed. Reasons for allowance are generally not subject to negotiation, but you will be granted an opportunity to respond. Your comments should follow the receipt of the notice of allowance and should be submitted no later than the payment of the issue fee. I do not anticipate any problems but should we disagree, you should not expect any further comment on my part. See 37 CFR 1.104(e).

Richard -

-----Original Message-----
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Tuesday, October 01, 2002 6:13 PM
To: Richard.Weisberger@USPTO.GOV
Subject: Interview Summaries and Reasons for Allowance

Hi Richard:

I await to hear from you regarding the Interview Summaries and language for Reasons for Allowance. I think the deal you proposed during the Interviews was prompt Interview Summaries in exchange for our submissions of Amendments. Please let me know where this stands. Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential and/or privileged material. Any review, retransmission, dissemination or other use of, or taking of any action in reliance upon, this information by persons or entities other than the intended recipient is prohibited. If you received this in error, please contact the sender and delete the material from any computer.

From: Richard.Weisberger@USPTO.GOV
Sent: Sunday, January 11, 2004 8:15 PM
To: Steve Borsand (TT)
Subject: RE: status

Steve -

I just returned to the office. I know your anxious for a reply, but please be patient as I have a few dozen messages and four cases that have to be moved by the end of the day, Monday. I'll call you either way by the end of the day Monday.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, January 05, 2004 11:16 AM
To: Weisberger, Richard
Subject: RE: status

Richard

I am sorry to hear that. My condolences to you and your family.

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, January 02, 2004 1:42 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve

My grandmother past away. I'll be out of the office most of next week. I'll call you when I return.

Richard

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, December 22, 2003 5:38 PM
To: Weisberger, Richard
Subject: RE: status

Richard -- Are we done?

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 18, 2003 12:27 PM
To: Steve.Borsand@tradingtechnologies.com

Subject: RE: status

I'll check on it tomorrow. The office is having a holiday party today.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 16, 2003 2:58 PM
To: Weisberger, Richard
Subject: RE: status

Richard -- Any update?

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 11, 2003 10:38 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I was on leave to attend to finals and end of semester (MS of Finance) issues. I have the cases in my possession and removed the recently allowed case from the normal quality cue. Spoke with quality this morning, it should no longer than three days to remove the hold.

Regards,

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 09, 2003 2:33 PM
To: Weisberger, Richard
Subject: status

Rich -- I learned you were out of the office last week but that you are back in now. Could you please call me at 312-476-1018?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property

Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Thursday, September 26, 2002 5:04 PM
To: AShah@foleylaw.com
Cc: Steve Borsand (TT)
Subject: RE: Amendments (09/894,637; 09/589,751; 09/971,087)

Have the amendments hand delivered to the 7th floor receptionist at Crystal Park 5. If you are still around, you can Fax the draft to 703 308 3637. I'll call you in the late morning (11:00 or so) to discuss any remaining issues, which should be few to none.

PS I can FAX you a copy of the interview summary record, but the notice of allowance will have to wait until the case is reviewed by our second set of eyes (This should be a perfunctory step in view of the parent application).

Richard --

-----Original Message-----
From: AShah@foleylaw.com [mailto:AShah@foleylaw.com]
Sent: Thursday, September 26, 2002 5:22 PM
To: Richard.Weisberger@USPTO.GOV
Cc: steve.borsand@tradingtechnologies.com
Subject: RE: Amendments (09/894,637; 09/589,751; 09/971,087)

Richard:

The amendments were faxed to your attention to the TC 3600 main fax no. with a cover entitled "Courtesy Copy". The hard copies are being hand-delivered to you tomorrow morning.

Steve Borsand and I need to discuss these with you to ensure that everything is in order and to clear up the last issues in these cases. Please give me a call in the morning and I will connect Steve. I will also try calling you in the morning.

Best regards.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential and/or privileged material. Any review, retransmission, dissemination or other use of, or taking of any action in reliance upon, this information by persons or entities other than the intended recipient is prohibited. If you received this in error, please contact the sender and delete the material from any computer.

-----Original Message-----
From: Shah, Ankur D.
Sent: Thursday, September 26, 2002 4:09 PM
To: 'Richard.Weisberger@USPTO.GOV'
Cc: Steven F. Borsand (E-mail)
Subject: Amendments (09/894,637; 09/589,751; 09/971,087)

Richard -

We have the amendments in the three cases ready to fax to you. Please give me call and we will fax it to you immediately.

Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential and/or privileged material. Any review, retransmission, dissemination or other use of, or taking of any action in reliance upon, this information by persons or entities other than the intended recipient is prohibited. If you received this in error, please contact the sender and delete the material from any computer.

From: Richard.Weisberger@USPTO.GOV
Sent: Monday, September 23, 2002 2:05 PM
To: Steve Borsand (TT)
Subject: RE: 09/894,637 and 09/971,087

Hi Steve

Did you consider claim amendments for 09/589751?

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, September 23, 2002 2:47 PM
To: richard.weisberger@uspto.gov
Subject: 09/894,637 and 09/971,087

Examiner Weisberger:

I left you a voicemail on this as well today. I thought I would also drop you an email (I think Ankur told me that you prefer communicating thru email when possible). I just wanted to see when we can talk about the proposed new claims that were faxed to you last week. Hopefully we can talk asap to bring those two cases to closure. Once we reach agreement on the claims, we can immediately turn around an amendment to you.

Please call me at 312-476-1018 to discuss. Ankur is out of the office most of this week so I will be the contact on this.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Thursday, October 23, 2003 11:16 AM
To: Steve Borsand (TT)
Subject: RE: terminal disclaimer and IDSs

The PTO has an independent contractor perform this task.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, October 22, 2003 6:20 PM
To: Weisberger, Richard
Subject: RE: terminal disclaimer and IDSs

How do the faxed papers get matched? Is there anything I can do to make this happen right away -- are files still with the quality reviewer?

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, October 22, 2003 12:17 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: terminal disclaimer and IDSs

The faxed papers need to be matched to the case and forwarded to me. When they arrive on my desk I will call you.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Friday, October 17, 2003 5:26 PM
To: Weisberger, Richard
Subject: terminal disclaimer and IDSs

Rich -- I left you a voicemail on this as well. I received your voicemail with the fax. The only issue is that the IDSs need to include copies of the references. Should we just submit everything by hand or should we submit the IDS forms and terminal disclaimer by fax and then deliver the copies?

We plan on filing everything on Monday.

Thanks,

Steve

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, March 21, 2003 10:05 PM
To: richard.weisberger@uspto.gov
Subject: amendments

The three amendments were filed by fax to you earlier this evening. I will also fax you copies to the other fax # you gave me on Sunday.

Would it be possible to actually see your reasons for allowance and to see your interview summary before they are entered? If so, you could email me a draft.

Thanks,

Steve

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, March 27, 2003 10:39 PM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Richard -- I was wondering if you met with quality on Wed. and if you have a better idea of how long the review will take?

Thanks, Steve

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, April 25, 2003 9:14 AM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Richard – Did you find anything out yesterday re: the status of our cases in quality review?

Thanks, Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, May 27, 2003 4:42 PM
To: Richard.Weisberger@uspto.gov
Subject: 09/590,692 et al.

Attachments: references.doc

Examiner Weisberger – Attached is a list of the references that we would prefer to be made of record in the various cases. Each page of the attached corresponds to a different case. Every reference listed on the attached was either cited by you or initialed as being considered by you in at least one of the four pending cases. Also, the most relevant references are already officially of record in each of the four cases and we are doing this clean-up out of an abundance of caution. Call me if you have any questions. Please tell us if you want us to prepare PTO 892 forms with all of the references listed. Also, if there is a need for copies of any references, let me know and I can have those made.

In addition, there is one other reference (US 2002/0138401 A1) that I believe should already be of record in each of the cases. This was a reference that was discussed at the interviews of March 13, 2003, but this reference has yet to be listed on a PTO form that we have seen. In the spirit of completeness, I wanted to make sure I list that here as well (it is not listed in the attached).

Thanks for considering this,

Steve

<<references.doc>>

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fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

09/590,692:

4,903,201 (cited in 09/589,751)
5,101,353 (cited in 09/589,751)
5,946,667 (cited in 09/589,751)
6,035,287 (cited in 09/589,751)
WO 95/26005 (cited in 09/589,751)
WO 99/30259 (cited in 09/894,637)

09/894,637:

4,903,201 (cited in 09/589,751)
5,101,353 (cited in 09/589,751)
5,946,667 (cited in 09/589,751)
6,035,287 (cited in 09/589,751)
WO 95/26005 (cited in 09/589,751)

09/971,087:

5,689,651 (cited in 09/590,692 and 09/894,637)
5,774,877 (cited in 09/590,692 and 09/894,637)
5,793,301 (cited in 09/590,692 and 09/894,637)
5,797,002 (cited in 09/590,692 and 09/894,637)
5,845,266 (cited in 09/590,692 and 09/894,637)
5,915,245 (cited in 09/590,692 and 09/894,637)
5,963,923 (cited in 09/590,692 and 09/894,637)
6,012,046 (cited in 09/590,692 and 09/894,637)
6,014,643 (cited in 09/590,692 and 09/894,637)
6,098,051 (cited in 09/590,692 and 09/894,637)
6,195,647 (cited in 09/590,692 and 09/894,637)
6,272,474 (cited in 09/590,692 and 09/894,637)
6,278,982 (cited in 09/590,692 and 09/894,637)
4,903,201 (cited in 09/589,751)
5,101,353 (cited in 09/589,751)
5,946,667 (cited in 09/589,751)
6,035,287 (cited in 09/589,751)
WO 95/26005 (cited in 09/589,751)
4,674,044 (cited in 09/590,692 and 09/894,637)
4,750,135 (cited in 09/590,692 and 09/894,637)
5,270,922 (cited in 09/590,692 and 09/894,637)
5,924,083 (cited in 09/590,692 and 09/894,637)
WO 99/30259 (cited in 09/894,637)
www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/2001)
(cited in 09/590,692 and 09/894,637)
Kharouf, a trading room with a view, Futures 27, 11-11/1998
(cited in 09/590,692 and 09/894,637)

09/589,751:

5,038,284 (cited in all other cases)
5,077,665 (cited in all other cases)
5,136,501 (cited in all other cases)
5,297,031 (cited in all other cases)
5,297,032 (cited in all other cases)
5,689,651 (cited in all other cases)
5,774,877 (cited in all other cases)
5,793,301 (cited in all other cases)
5,797,002 (cited in all other cases)
5,915,245 (cited in 09/590,692 and 09/894,637)
5,924,082 (cited in all other cases)
5,963,923 (cited in 09/590,692 and 09/894,637)
6,014,643 (cited in 09/590,692 and 09/894,637)
6,098,051 (cited in 09/590,692 and 09/894,637)
6,131,087 (cited in all other cases)
6,134,535 (cited in all other cases)
6,195,647 (cited in 09/590,692 and 09/894,637)
6,272,474 (cited in 09/590,692 and 09/894,637)
6,278,982 (cited in 09/590,692 and 09/894,637)
6,282,521 (cited in all other cases)
2002/0055899 (cited in all other cases)
4,674,044 (cited in 09/590,692 and 09/894,637)
4,750,135 (cited in 09/590,692 and 09/894,637)
5,270,922 (cited in 09/590,692 and 09/894,637)
5,924,083 (cited in 09/590,692 and 09/894,637)
WO 00/65510 (cited in all other cases)
WO 01/16830 (cited in all other cases)
WO 01/22315 (cited in all other cases)
WO 01/88808 (cited in all other cases)
WO 99/30259 (cited in 09/894,637)
www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/2001)
(cited in 09/590,692 and 09/894,637)
Kharouf, a trading room with a view, Futures 27, 11-11/1998
(cited in 09/590,692 and 09/894,637)

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Monday, September 08, 2003 12:47 PM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Rich – Could you please call me at 312-476-1018? (I left you a voicemail as well).

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
phc +1.312.476.1018
fax +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, October 03, 2003 1:27 PM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Rich – I left you a voicemail as well. Could you please give me a call to tell me at least a quick status? Last time we talked, we agreed to talk on 10/3.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, October 07, 2003 9:30 AM
To: richard.weisberger@uspto.gov
Subject: 09/690,052 et al.

Rich – I am hoping we can talk today about status. Several weeks ago we agreed to talk on 10/3.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, October 15, 2003 11:15 AM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/690,052 et al.

Richard,

I will be out there tomorrow for our industry presentation. Are you going to attend? Lets plan on talking after.

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, October 15, 2003 11:13 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: 09/690,052 et al.

Steve,

I'll have an update late tomorrow.

Richard

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, October 07, 2003 10:30 AM
To: richard.weisberger@uspto.gov
Subject: 09/690,052 et al.

Rich -- I am hoping we can talk today about status. Several weeks ago we agreed to talk on 10/3.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, October 16, 2003 4:09 PM
To: richard.weisberger@uspto.gov
Subject: meeting tomorrow

Rich – Too bad you couldn't make our presentation. Someone gave me a message that you could talk tomorrow. I am actually staying over tonight and would like to stop by and talk with in person either tomorrow morning or early afternoon. I plan on coming over there around 10:00 am. Let me know if there are any problems with this or if there is a better time.

You can reach me on my cell at 847-477-9818.

Steve Borsand

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, October 21, 2003 2:34 PM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Rich – I left you a voicemail as well. I believe all of the documents have been filed. Please confirm that you have everything you need to mail the notice of allowance. Also, will you be sending that shortly?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
phc +1.312.476.1018
fax +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, December 04, 2003 12:53 PM
To: richard.weisberger@uspto.gov
Subject: trying to reach you

Rich – Are you in today? I have been trying to reach you (and left you a voicemail yesterday).

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, October 17, 2003 4:26 PM
To: richard.weisberger@uspto.gov
Subject: terminal disclaimer and IDSs

Rich – I left you a voicemail on this as well. I received your voicemail with the fax. The only issue is that the IDSs need to include copies of the references. Should we just submit everything by hand or should we submit the IDS forms and terminal disclaimer by fax and then deliver the copies?

We plan on filing everything on Monday.

Thanks,

Steve

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, March 21, 2003 11:50 AM
To: richard.weisberger@uspto.gov
Subject: FW: proposed amendments

Attachments: newwording.doc

woops, I forgot to attach the document. Here it is:

-----Original Message-----
From: Steve Borsand (TT)
Sent: Friday, March 21, 2003 11:49 AM
To: 'Richard.Weisberger@USPTO.GOV'
Subject: RE: proposed amendments

Richard -- Attached is the language that we will use to replace the selecting limitation in what was numbered claims 41 and 76 of the '637 case. I know you said you didn't need to see it, but I just wanted to get this to you while we are preparing the amendment papers.

Thanks,

steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, March 21, 2003 10:25 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: proposed amendments

Steve -

I'm quite satisfied with the amendments. The claims reflect with great precision the various functions of TT products. This process although somewhat arduous yielded a clear and definitive set of property boundaries, without limiting the scope of the claimed inventions unnecessarily. Follow up with the amendments and email your any notes that you have prepared directed to reasons for allowance.

Richard--

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, March 20, 2003 3:58 PM
To: richard.weisberger@uspto.gov
Subject: proposed amendments

Richard - Here are the proposed amendments in the 3 cases. The first file goes with the 590,692 case, the second is the 894,637 and the third is 589,751. The documents have redlined turned on to show the differences with the previous claims and which dependent claims are new. In the '751, the document contains just each independent claim and the changes thereto.

I will call you shortly.

Steve

<<692claimsamended.doc>> <<637claimsamend.doc>> <<751amend.doc>>

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

---

in response to a selection of a particular location of the order entry region by a single action of a user input device, setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange.

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, December 11, 2003 10:54 AM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: status

Rich -- I left you a voicemail as well. I assume that the recently allowed case you are referring is the case in which we filed an RCE (09/589,751). If that is correct, could you sign the IDSs and complete and send the notices of allowances in the other 3 cases (09/590,692, 09/894,637 and 09/971,087) now so that the only case being held up by quality would be 09/589,751?

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 11, 2003 10:38 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I was on leave to attend to finals and end of semester (MS of Finance) issues. I have the cases in my possession and removed the recently allowed case from the normal quality cue. Spoke with quality this morning, it should no longer than three days to remove the hold.

Regards,

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 09, 2003 2:33 PM
To: Weisberger, Richard
Subject: status

Rich -- I learned you were out of the office last week but that you are back in now. Could you please call me at 312-476-1018?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.

ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 16, 2003 1:58 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: status

Richard – Any update?

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 11, 2003 10:38 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I was on leave to attend to finals and end of semester (MS of Finance) issues. I have the cases in my possession and removed the recently allowed case from the normal quality cue. Spoke with quality this morning, it should no longer than three days to remove the hold.

Regards,

Richard -

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 09, 2003 2:33 PM
To: Weisberger, Richard
Subject: status

Rich -- I learned you were out of the office last week but that you are back in now. Could you please call me at 312-476-1018?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018

fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

A

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Monday, December 22, 2003 4:38 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: status

Richard – Are we done?

Steve

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 18, 2003 12:27 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

I'll check on it tomorrow. The office is having a holiday party today.

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 16, 2003 2:58 PM
To: Weisberger, Richard
Subject: RE: status

Richard – Any update?

Thanks,

Steve

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 11, 2003 10:38 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I was on leave to attend to finals and end of semester (MS of Finance) issues. I have the cases in my possession and removed the recently allowed case from the normal quality cue. Spoke with quality this morning, it should no longer than three days to remove the hold.

Regards,

Richard -

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 09, 2003 2:33 PM
To: Weisberger, Richard
Subject: status

Rich -- I learned you were out of the office last week but that you are back in now. Could you please call me at 312-476-10187

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 23, 2003 4:12 PM
To: richard.weisberger@uspto.gov
Subject: status

Richard – Are you in the office?

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Monday, January 12, 2004 2:32 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: status

Richard --

Thanks. I look forward to hearing from you this afternoon.

Steve

----Original Message----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Sunday, January 11, 2004 8:15 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I just returned to the office. I know your anxious for a reply, but please be patient as I have a few dozen messages and four cases that have to be moved by the end of the day, Monday. I'll call you either way by the end of the day Monday.

----Original Message----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, January 05, 2004 11:16 AM
To: Weisberger, Richard
Subject: RE: status

Richard

I am sorry to hear that. My condolences to you and your family.

Steve

----Original Message----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, January 02, 2004 1:42 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve

My grandmother past away. I'll be out of the office most of next week. I'll call you when I return.

Richard

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Monday, December 22, 2003 5:38 PM
To: Weisberger, Richard
Subject: RE: status

Richard -- Are we done?

Steve

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 18, 2003 12:27 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

I'll check on it tomorrow. The office is having a holiday party today.

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 16, 2003 2:58 PM
To: Weisberger, Richard
Subject: RE: status

Richard -- Any update?

Thanks,

Steve

—Original Message—
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 11, 2003 10:38 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I was on leave to attend to finals and end of semester (MS of Finance) issues. I have the cases in my possession and removed the recently allowed case from the normal quality cue. Spoke with quality this morning, it should no longer than three days to remove the hold.

Regards,

Richard -

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 09, 2003 2:33 PM
To: Weisberger, Richard
Subject: status

Rich – I learned you were out of the office last week but that you are back in now. Could you please call me at 312-476-1018?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, December 19, 2003 12:03 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: status

I left you a voicemail as well. Could you please call me at 312-476-1018?

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 18, 2003 12:27 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

I'll check on it tomorrow. The office is having a holiday party today.

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 16, 2003 2:58 PM
To: Weisberger, Richard
Subject: RE: status

Richard -- Any update?

Thanks,

Steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Thursday, December 11, 2003 10:38 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: status

Steve -

I was on leave to attend to finals and end of semester (MS of Finance) issues. I have the cases in my possession and removed the recently allowed case from the normal quality cue. Spoke with quality this morning, it should no longer than three days to remove the hold.

Regards,

Richard -

—Original Message—
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, December 09, 2003 2:33 PM
To: Weisberger, Richard
Subject: status

Rich – I learned you were out of the office last week but that you are back in now. Could you please call me at 312-476-1018?

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, January 30, 2004 11:02 AM
To: richard.weisberger@uspto.gov
Subject: status

Richard -- Any update?

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, February 26, 2004 8:41 AM
To: richard.weisberger@uspto.gov
Subject: FW: Unacknowledged IDS forms
Richard -- Following up on my voicemail yesterday, below is an list of the IDS that were filed in the 590,692 and 894,637 that we have not received acknowledged forms. If they have been signed, could you fax us copies? Otherwise, we deliver copies of the forms to you. I will follow up with you by phone.

Thanks,

Steve
-----Original Message-----
From: Shah, Ankur D. [mailto:AShah@foley.com]
Sent: Wednesday, February 25, 2004 4:36 PM
To: 'Steven F. Borsand (steve.borsand@tradingtechnologies.com)'
Subject: Unacknowledged IDS forms

Steve:

Here is the list of IDSs by date where the corresponding 1449 or SB08 form has not been initialed and returned to us by the Examiner.

09/590,692
November 11, 2002
December 18, 2002
February 11, 2003
October 20, 2003
November 12, 2003

09/894,637
September 7, 2001
September 20, 2002
November 14, 2002
December 18, 2002
February 13, 2003
November 12, 2003

Ankur D. Shah
Foley & Lardner
3000 K Street NW, Suite 500
Washington, DC 20007
(202) 945-6132
(202) 672-5399 (fax)
ashah@foley.com

IMPORTANT NOTICE: The preceding message may be confidential or protected by the attorney-client privilege. It is not intended for transmission to, or receipt by, any unauthorized persons. If you believe that it has been sent to you in error, do not read it. Please reply to the sender that you have received the message in error. Then destroy it. Thank you.

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Monday, March 01, 2004 11:12 AM
To: Richard.Weisberger@USPTO.GOV
Subject: Re: Unacknowledged IDS forms

Richard -- Any way we can talk today about this? I can be reached on my cell at 847-915-1411. Thanks, Steve

----Original Message----
From: Weisberger, Richard <Richard.Weisberger@USPTO.GOV>
To: Steve.Borsand@tradingtechnologies.com <Steve.Borsand@tradingtechnologies.com>
Sent: Thu Feb 26 13:51:41 2004
Subject: RE: Unacknowledged IDS forms

I'll have to pick this up with you tomorrow.

----Original Message----
From: Steve.Borsand@tradingtechnologies.com [mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, February 26, 2004 9:41 AM
To: Weisberger, Richard
Subject: FW: Unacknowledged IDS forms

Richard -- Following up on my voicemail yesterday, below is an list of the IDS that were filed in the 590,692 and 894,637 that we have not received acknowledged forms. If they have been signed, could you fax us copies? Otherwise, we deliver copies of the forms to you. I will follow up with you by phone.

Thanks,

Steve
----Original Message----
From: Shah, Ankur D. [mailto:AShah@foley.com]
Sent: Wednesday, February 25, 2004 4:36 PM
To: 'Steven F. Borsand (steve.borsand@tradingtechnologies.com)'
Subject: Unacknowledged IDS forms

Steve:

Here is the list of IDSs by date where the corresponding 1449 or SB08 form has not been initialed and returned to us by the Examiner.

09/590,692
November 11, 2002
December 18, 2002
February 11, 2003
October 20, 2003
November 12, 2003

09/894,637
September 7, 2001
September 20, 2002
November 14, 2002
December 18, 2002
February 13, 2003

November 12, 2003

-Ankur D. Shah
Foley & Lardner
3000 K Street NW, Suite 500
Washington, DC 20007
(202) 945-6132
(202) 672-5399 (fax)
ashah@foley.com

IMPORTANT NOTICE: The preceding message may be confidential or protected by the attorney-client privilege. It is not intended for transmission to, or receipt by, any unauthorized persons. If you believe that it has been sent to you in error, do not read it. Please reply to the sender that you have received the message in error. Then destroy it. Thank you.

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, March 16, 2004 11:32 AM
To: richard.weisberger@uspto.gov
Subject: 10/237,131

Richard – I wanted to give you a heads up that on 3/12/04, we filed amended claims as we had discussed in this continuation directed to the feature of repositioning/recentering. You had actually suggested that we propose independent claims with this limitation in the past. This is the file that I think was originally assigned to a different examiner even though it is a straight continuation from the 09/590,692 case. In the next week or so I will be checking to make sure that the IDSs in this case are up to date and if they are not we will file an additional IDS.

Thanks,

Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

Interview Summary	Application No. 09/894,637	Applicant(s) KEMP ET AL.	
	Examiner Richard C Weisberger	Art Unit 3624	

All participants (applicant, applicant's representative, PTO personnel):

(1) Richard C Weisberger.

(2) Ankur Shaw.

(3) Steve Borsand.

(4) _____.

Date of Interview: 18 September 2002.

Type: a)☐ Telephonic b)☐ Video Conference
c)☒ Personal [copy given to: 1)☐ applicant 2)☐ applicant's representative]

Exhibit shown or demonstration conducted: d)☒ Yes e)☐ No.
If Yes, brief description: Trading Technologies Software.

Claim(s) discussed: 1-21.

Identification of prior art discussed: _____.

Agreement with respect to the claims f)☒ was reached. g)☐ was not reached. h)☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: The subject matter of the interview was directed to a preferred embodiment of the invention. Claim language was proposed by the examiner to capture this embodiment. Agreement was reached that the applicant would file an amendment canceling claims 1-21 (without prejudice) and adding claims comprising the agreed upon language. _____.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i)☒ It is not necessary for applicant to provide a separate record of the substance of the interview(if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required

From: Shah, Ankur D. [AShah@foleylaw.com]
Sent: Wednesday, July 03, 2002 5:34 PM
To: Steve Borsand (TT)
Subject: NOA

Attachments: Untitled.pdf

Steve:

Here is a copy of the cover of the notice of allowability. It was just faxed to me by the Examiner.

-Ankur
<<Untitled.pdf>>

Notice of Allowability	Application No. 09/590,692	Applicant(s) KEMP ET AL
	Examiner Richard C Weisberger	Art Unit 2164

– The MAILING DATE of this communication appears on the cover sheet with the correspondence address–

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS. This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to *amendment A*.
2. ☒ The allowed claim(s) is/are *22-70*.
3. ☐ The drawings filed on _____ are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
   a) ☐ All b) ☐ Some* c) ☐ None of the:
      1. ☐ Certified copies of the priority documents have been received.
      2. ☐ Certified copies of the priority documents have been received in Application No. _____.
      3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____.
5. ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
   (a) ☐ The translation of the foreign language provisional application has been received.
6. ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

7. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.

8. ☒ CORRECTED DRAWINGS must be submitted.
   (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
      1) ☐ hereto or 2) ☐ to Paper No. _____.
   (b) ☐ including changes required by the proposed drawing correction filed _____, which has been approved by the Examiner.
   (c) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No. _____.

   Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the top margin (not the back) of each sheet. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

9. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Informal Patent Application (PTO-152)
3. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
4. ☐ Interview Summary (PTO-413), Paper No. _____.
5. ☒ Information Disclosure Statements (PTO-1449), Paper No. *1,13*.
6. ☒ Examiner's Amendment/Comment
7. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other

TT 0099599

—Original Message—
From: Steve Borsand (TT)
Sent: Tuesday, May 27, 2003 4:42 PM
To: 'Richard.Weisberger@uspto.gov'
Subject: 09/590,692 et al.

Examiner Weisberger – Attached is a list of the references that we would prefer to be made of record in the various cases. Each page of the attached corresponds to a different case. Every reference listed on the attached was either cited by you or initialed as being considered by you in at least one of the four pending cases. Also, the most relevant references are already officially of record in each of the four cases and we are doing this clean-up out of an abundance of caution. Call me if you have any questions. Please tell us if you want us to prepare PTO 892 forms with all of the references listed. Also, if there is a need for copies of any references, let me know and I can have those made.

In addition, there is one other reference (US 2002/0138401 A1) that I believe should already be of record in each of the cases. This was a reference that was discussed at the interviews of March 13, 2003, but this reference has yet to be listed on a PTO form that we have seen. In the spirit of completeness, I wanted to make sure I list that here as well (it is not listed in the attached).

Thanks for considering this,

Steve

<<references.doc>>

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09/590,692:

4,903,201 (cited in 09/589,751)
5,101,353 (cited in 09/589,751)
5,946,667 (cited in 09/589,751)
6,035,287 (cited in 09/589,751)
WO 95/26005 (cited in 09/589,751)
WO 99/30259 (cited in 09/894,637)

09/894,637:

4,903,201 (cited in 09/589,751)
5,101,353 (cited in 09/589,751)
5,946,667 (cited in 09/589,751)
6,035,287 (cited in 09/589,751)
WO 95/26005 (cited in 09/589,751)

09/971,087:

5,689,651 (cited in 09/590,692 and 09/894,637)
5,774,877 (cited in 09/590,692 and 09/894,637)
5,793,301 (cited in 09/590,692 and 09/894,637)
5,797,002 (cited in 09/590,692 and 09/894,637)
5,845,266 (cited in 09/590,692 and 09/894,637)
5,915,245 (cited in 09/590,692 and 09/894,637)
5,963,923 (cited in 09/590,692 and 09/894,637)
6,012,046 (cited in 09/590,692 and 09/894,637)
6,014,643 (cited in 09/590,692 and 09/894,637)
6,098,051 (cited in 09/590,692 and 09/894,637)
6,195,647 (cited in 09/590,692 and 09/894,637)
6,272,474 (cited in 09/590,692 and 09/894,637)
6,278,982 (cited in 09/590,692 and 09/894,637)
4,903,201 (cited in 09/589,751)
5,101,353 (cited in 09/589,751)
5,946,667 (cited in 09/589,751)
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WO 95/26005 (cited in 09/589,751)
4,674,044 (cited in 09/590,692 and 09/894,637)
4,750,135 (cited in 09/590,692 and 09/894,637)
5,270,922 (cited in 09/590,692 and 09/894,637)
5,924,083 (cited in 09/590,692 and 09/894,637)
WO 99/30259 (cited in 09/894,637)
www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/2001)
(cited in 09/590,692 and 09/894,637)
Kharouf, a trading room with a view, Futures 27, 11-11/1998
(cited in 09/590,692 and 09/894,637)

09/589,751:

5,038,284 (cited in all other cases)
5,077,665 (cited in all other cases)
5,136,501 (cited in all other cases)
5,297,031 (cited in all other cases)
5,297,032 (cited in all other cases)
5,689,651 (cited in all other cases)
5,774,877 (cited in all other cases)
5,793,301 (cited in all other cases)
5,797,002 (cited in all other cases)
5,915,245 (cited in 09/590,692 and 09/894,637)
5,924,082 (cited in all other cases)
5,963,923 (cited in 09/590,692 and 09/894,637)
6,014,643 (cited in 09/590,692 and 09/894,637)
6,098,051 (cited in 09/590,692 and 09/894,637)
6,131,087 (cited in all other cases)
6,134,535 (cited in all other cases)
6,195,647 (cited in 09/590,692 and 09/894,637)
6,272,474 (cited in 09/590,692 and 09/894,637)
6,278,982 (cited in 09/590,692 and 09/894,637)
6,282,521 (cited in all other cases)
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4,674,044 (cited in 09/590,692 and 09/894,637)
4,750,135 (cited in 09/590,692 and 09/894,637)
5,270,922 (cited in 09/590,692 and 09/894,637)
5,924,083 (cited in 09/590,692 and 09/894,637)
WO 00/65510 (cited in all other cases)
WO 01/16830 (cited in all other cases)
WO 01/22315 (cited in all other cases)
WO 01/88808 (cited in all other cases)
WO 99/30259 (cited in 09/894,637)
www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/2001)
(cited in 09/590,692 and 09/894,637)
Kharouf, a trading room with a view, Futures 27, 11-11/1998
(cited in 09/590,692 and 09/894,637)

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, March 21, 2003 4:51 PM
To: richard.weisberger@uspto.gov
Subject: notes

Attachments: reasons.doc

Richard – here is my stab at the notes we discussed. I will fax you an additional copy of the amendments on Sunday. As I mentioned, if you have any questions feel free to call me at 847-477-9818.

Thanks,

Steve

<<reasons.doc>>

09/590,692:

None of the art of record teaches or suggests methods and/or systems having elements as recited in the claims. For at least the following reasons, the claims are allowable. The references do not teach or suggest a method of placing a trade order, computer readable medium with instructions for placing a trade order, and/or a client system for placing a trade order that dynamically displays bids and asks for a commodity in alignment with a static display of prices. Also, the references do not teach or suggest the combination of such a static display of prices and allowing for parameters of a trade order to be set and for the trade order to be sent to an electronic exchange in response to a selection of an area in an order region through a single action of a user input device. In addition, these features in combination with the other claim features of claims ___, ____ and/or ____ render the claims allowable.

09/894,637:

None of the art of record teaches or suggests methods and/or systems having elements as recited in the claims. For at least the following reasons, the claims are allowable. The references do not teach or suggest a method for displaying market information and facilitating trading and/or a computer readable medium having program code for displaying market information and facilitating trading that dynamically displays indicators representing quantity associated with orders to buy or sell a commodity in display regions having locations corresponding to price levels along a common static price axis. Also, the references do not teach or suggest the combination of such a display of market information in association with a common static price axis and allowing for parameters of a trade order to be set and for the trade order to be sent to an electronic exchange in response to a selection of a location in an order entry region through a single action of a user input device. In addition, these features in combination with other claim features of claim ___ and ____ render the claims allowable.

09/589,751:

None of the art of record teaches or suggests methods and/or systems having elements as recited in the claims. For at least the following reasons, the claims are allowable. The references do not teach or suggest a method of placing a trade order, a computer readable medium having program code for execution on a computer to place a trade order, and/or a client system for placing a trade order in which market information is displayed through a display of prices and quantities of bids and asks and in which orders are initiated at prices outside of the inside market in response to a single action of a user input device with a pointer associated with a price, where the price of the trade order is changed based upon a preset parameter. In addition, these features in combination with other claim features of claims ___, ____, _____, and ____ render the claims allowable.

None of the art of record teaches or suggests methods and/or systems having elements as recited in the claims. For at least the following reasons, the claims are allowable. The references do not teach or suggest a method of displaying market information relating to a commodity and/or a computer readable medium having program code for displaying market information relating to a commodity that consolidates price levels of a common static price axis such that a plurality of price levels are combined into a consolidated price level and consolidates a display of bid and/or ask indicators into consolidated indicators. In addition, these features in combination with other claim features in claims ___ and ___ render the claims allowable.

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, March 19, 2003 2:04 PM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: 09/590,692 et al.

ok

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, March 19, 2003 1:54 PM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: 09/590,692 et al.

Steve -

I'll need to back up our interview to 5:00.

Richard --

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, March 19, 2003 12:06 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

I am faxing them right now.

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, March 19, 2003 10:32 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: 09/590,692 et al.

Steve,

The RCE requests for 09/590,692 and 09/894,637 have not been matched to their files. Can you fax a copy to me at 703 872 9025?

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, March 18, 2003 4:24 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

Richard – I was hoping we can pick a time tomorrow to talk. I can be available any time that is good for you.

Thanks,

Steve

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From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, March 19, 2003 5:46 PM
To: richard.weisberger@uspto.gov
Subject: another claim

41. (New) A method for displaying market information relating to [and facilitating trading of] a commodity being traded in an electronic exchange ~~market~~ having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the method comprising:

dynamically displaying a first indicator in one of a plurality of locations in a bid display region in association with price levels along a common static price axis, the first indicator representing quantity associated with at least one order to buy the commodity at the highest bid price currently available in the market;

dynamically displaying a second indicator in one of a plurality of locations in an ask display region in association with the price levels along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market; ~~and~~

displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that the first and second indicators can move in the bid and ask display regions relative to the common static price axis when the inside market changes;

displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

setting a plurality of parameters for a trade order relating to the commodity and sending the trade order to the electronic exchange through a single action of a user input device which selects a particular location in the order entry region;

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From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, March 19, 2003 4:29 PM
To: richard.weisberger@uspto.gov

22. A method of placing a trade order for a commodity on an electronic exchange, using a graphical user interface and a user input device, said method comprising:

setting a preset parameter for the trade order;

displaying the market depth of a commodity traded in a market, through a dynamic display of a plurality of bids and a plurality of asks in the market for the commodity, including the bid and ask quantities of the commodity, aligned with a static display of prices corresponding thereto; and

setting a plurality of additional parameters for the trade order and sending the trade order to the electronic exchange through a single action of the user input device with a pointer of the user input device positioned over an area in said dynamic displays of bids and asks;

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From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, March 20, 2003 2:58 PM
To: richard.weisberger@uspto.gov
Subject: proposed amendments

Attachments: 692claimsamended.doc; 637claimsamend.doc; 751amend.doc

Richard - Here are the proposed amendments in the 3 cases. The first file goes with the 590,692 case, the second is the 894,637 and the third is 589,751. The documents have redlined turned on to show the differences with the previous claims and which dependent claims are new. In the '751, the document contains just each independent claim and the changes thereto.

I will call you shortly.

Steve

<<692claimsamended.doc>> <<637claimsamend.doc>> <<751amend.doc>>

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09/590,692 PROPOSED AMENDMENT (3/20/03)

22. A method of placing a trade order for a commodity on an electronic exchange having an inside market with a highest bid price and a lowest ask price, using a graphical user interface and a user input device, said method comprising:

setting a preset parameter for the trade order;

displaying market depth of the commodity through a dynamic display of a plurality of bids and a plurality of asks in the market for the commodity, including at least a portion of the bid and ask quantities of the commodity, the dynamic display being aligned with a static display of prices corresponding thereto, wherein the static display of prices does not move in response to a change in the inside market;

displaying an order entry region aligned with the static display of prices comprising a plurality of areas for receiving commands from the user input device to send trade orders, each area corresponding to a price of the static display of prices; and

selecting a particular area in the order entry region through a single action of the user input device with a pointer of the user input device positioned over the particular area to set a plurality of additional parameters for the trade order and send the trade order to the electronic exchange.

23. A method of placing a trade order according to claim 22, wherein said trade order is a buy order if the position of the pointer at the time of said single action is within a bid order entry region and wherein said trade order is a sell order if the position of the pointer at the time of said single action is within an ask order entry region.

24. The method of claim 23 wherein the bid order entry region overlaps with a bid display region and the ask order entry region overlaps with an ask display region.

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25. A method of placing a trade order according to claim 23, wherein the trade order is for a pre-determined fixed quantity and for a price corresponding to the position of the pointer at the time of said single action.

26. A method of placing a trade order according to claim 23, wherein the trade order is for a quantity equal to a current net position of the user in the commodity and for a price corresponding to the position of the pointer at the time of said single action.

27. A method of placing a trade order according to claim 23, wherein the trade order is for a quantity equal to a pre-determined fixed offset plus the sum of all quantities in the market at prices better than or equal to a price corresponding to the position of the pointer at the time of said single action and for a price corresponding to said position.

28. A method of placing a trade order according to claim 27, wherein said offset is equal to a first pre-determined value if a single action of a first type is taken and said offset is equal to a second pre-determined value if a single action of a second type is taken.

29. A method of placing a trade order according to claim 22, further comprising canceling said trade order in response to a subsequent single action of the user input device.

30. A computer readable medium having program code recorded thereon, for execution on a computer having a graphical user interface and a user input device, to place a trade order for a commodity on an electronic exchange having an inside market with a highest bid price and a lowest ask price, comprising:

a first program code for setting a preset parameter for the trade order;

a second program code displaying market depth of a commodity, through a dynamic display of a plurality of bids and a plurality of asks in the market for the commodity, including the bid and ask quantities of the commodity, aligned with a static

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display of prices corresponding thereto, wherein the static display of prices does not move in response to a change in the inside market;

a third program code for displaying an order entry region comprising a plurality of areas for receiving commands from the user input device to send trade orders, aligned with the static display of prices, each are corresponding to a price of the static display of prices; and

a fourth program code for receiving a command as a result of a selection of a particular area in the order entry region by a single action of the user input device with a pointer of the user input device positioned over the particular area, to set a plurality of additional parameters for the trade order and send the trade order to the electronic exchange.

31. A computer readable medium having program code recorded thereon, for execution on a computer to place a trade order according to claim 30, further comprising program code for establishing that said trade order is a buy order if the position of the pointer at the time of said single action is within a bid order entry region and that said trade order is a sell order if the position of the pointer at the time of said single action is within an ask order entry region.

32. A computer readable medium having program code recorded thereon, for execution on a computer to place a trade order according to claim 31, wherein the bid order entry region overlaps with a bid display region and the ask order entry region overlaps with an ask display region.

33. A computer readable medium having program code recorded thereon, for execution on a computer to place a trade order according to claim 31, further comprising program code for establishing that the trade order is for a pre-determined fixed quantity and for a price corresponding to the position of the pointer at the time of said single action.

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34. A computer readable medium having program code recorded thereon, for execution on a computer to place a trade order according to claim 31, further comprising program code for establishing that the trade order is for a quantity equal to a current net position of the user in the commodity and for a price corresponding to the position of the pointer at the time of said single action.

35. A computer readable medium having program code recorded thereon, for execution on a computer to place a trade order according to claim 31, further comprising program code for establishing that the trade order is for a quantity equal to a pre-determined fixed offset plus the sum of all quantities in the market at prices better than or equal to a price corresponding to the position of the pointer at the time of said single action and for a price corresponding to said position.

36. A computer readable medium having program code recorded thereon, for execution on a computer to place a trade order according to claim 35, further comprising program code for establishing that said offset is equal to a first pre-determined value if a single action of a first type is taken and said offset is equal to a second pre-determined value if a single action of a second type is taken.

37. A client system for placing a trade order for a commodity on an electronic exchange having an inside market with a highest bid price and a lowest ask price, the system comprising:

a parameter setting component for setting a preset parameter for the trade order;

a display device for displaying market depth of a commodity, through a dynamic display of a plurality of bids and a plurality of asks in the market for the commodity, including the bid and ask quantities of the commodity, aligned with a static display of prices corresponding thereto, wherein the static display of prices does not move when the inside market changes, and for displaying an order entry region aligned with the static display of prices, comprising a plurality of areas for receiving commands to send trade orders, each area corresponding to a price of the static display of prices;

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a user input device for positioning a pointer thereof over an area in the order entry region; and

a trade order sending component for receiving a command as a result of a selection of the area in the order entry region by a single action of the user input device with a pointer of the user input device positioned over the area, to set a plurality of additional parameters for the trade order and send the trade order to the electronic exchange.

38. A client system for placing a trade order for a commodity according to claim 37, wherein said trade order sending component establishes that said trade order is a buy order if the position of the pointer at the time of said single action is within a bid order entry region and that said trade order is a sell order if the position of the pointer at the time of said single action is within an ask order entry region.

39. A client system for placing a trade order for a commodity according to claim 38, wherein the bid order entry region overlaps with a bid display region and the ask order entry region overlaps with an ask display region.

40. A client system for placing a trade order for a commodity according to claim 38, wherein said trade order sending component establishes that the trade order is for a pre-determined fixed quantity and for a price corresponding to the position of the pointer at the time of said single action.

41. A client system for placing a trade order for a commodity according to claim 38, wherein said trade order sending component establishes that the trade order is for a quantity equal to a current net position of the user in the commodity and for a price corresponding to the position of the pointer at the time of said single action.

42. A client system for placing a trade order for a commodity according to claim 38, wherein said trade order sending component establishes that the trade order is

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a trade order characteristics setting component for setting characteristics of the trade order based in part upon preset parameters and the position of the pointer at the time of said single action.

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for a quantity equal to a pre-determined fixed offset plus the sum of all quantities in the market at prices better than or equal to a price corresponding to the position of the pointer at the time of said single action and for a price corresponding to said position.

43. A client system for placing a trade order for a commodity according to claim 42, wherein said trade order sending component establishes that said offset is equal to a first pre-determined value if a single action of a first type is taken and said offset is equal to a second pre-determined value if a single action of a second type is taken.

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44. A method according to claim 22, wherein said displaying the market depth of a commodity traded in a market further comprises displaying said bids and asks in a vertical orientation.

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45. A method according to claim 22, wherein said displaying the market depth of a commodity traded in a market further comprises displaying said bids and asks in a horizontal orientation.

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46. A method according to claim 22, wherein a plurality of said displayed bids and asks in the market include bid and ask quantities of the commodity.

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47. A method according to claim 22, wherein said displaying the market depth of a commodity traded in a market further comprises displaying said bids and asks in different colors.

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48. A method according to claim 22, further comprising re-centering said prices corresponding to the bids and asks about an inside market price upon receipt of a re-centering instruction.

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49. A method according to claim 22, further comprising dynamically displaying working orders in alignment with the prices corresponding thereto.

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50. A method of displaying according to claim 22, further comprising dynamically displaying entered orders in alignment with the prices corresponding thereto, wherein said entered orders indicate a quantity of said commodity for which a trader's orders have been filled at said corresponding prices.

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51. A method according to claim 22, wherein said displaying the market depth of a commodity traded in a market further comprises displaying said statically displayed prices in at least one direction in numerical order.

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52. A method according to claim 22, wherein said displaying the market depth of a commodity traded in a market further comprises displaying said statically displayed prices along a single line in numerical order.

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53. A method of displaying according to claim 22, wherein said displaying the market depth of a commodity traded in a market further comprises dynamically displaying a last traded quantity for said commodity in alignment with the price corresponding thereto.

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54. A computer readable medium according to claim 30, further comprising program code to ensure that said displayed bids, asks and prices are oriented vertically.

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55. A computer readable medium according to claim 30, further comprising program code to ensure that said displayed bids, asks and prices are oriented horizontally.

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56. A computer readable medium according to claim 30, further comprising program code to ensure that a plurality of bids and asks in the market include bid and ask quantities of the commodity.

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57. A computer readable medium according to claim 30, further comprising program code to ensure that bids and asks are displayed in different colors.

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58. A computer readable medium according to claim 30, further comprising program code to ensure that said displayed prices corresponding to the bids and asks are re-centered about an inside market price upon receipt of a re-centering instruction.

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59. A computer readable medium according to claim 30, further comprising program code for dynamically displaying working orders in alignment with the prices corresponding thereto.

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60. A computer readable medium according to claim 30, further comprising program code for dynamically displaying entered orders in alignment with the prices corresponding thereto, wherein said entered orders indicate a quantity of said commodity for which a trader's orders have been filled at said corresponding prices.

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61. A computer readable medium according to claim 30, further comprising program code to ensure that said statically displayed prices are displayed in at least one direction in numerical order.

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62. A computer readable medium according to claim 30, further comprising program code to ensure that said statically displayed prices are displayed along a single line in numerical order.

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63. A computer readable medium according to claim 30, further comprising program code for dynamically displaying a last traded quantity for said commodity in alignment with the price corresponding thereto.

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64. A client system according to claim 37, wherein said displays are oriented vertically.

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65. A client system according to claim 37, wherein said displays are oriented horizontally.

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66. A client system according to claim 37, wherein said displays of the pluralities of bids and asks in the market include bid and ask quantities of the commodity.

67. A client system according to claim 37, wherein said displays are displayed in different colors.

68. A client system according to claim 37, wherein said display of prices corresponding to the bids and asks is re-centered about an inside market price upon re-centering instruction from a user.

69. A client system according to claim 37, further comprising a display of working orders displayed in alignment with the prices corresponding thereto.

70. A client system according to claim 37, wherein said display device displays entered orders in alignment with the prices corresponding thereto and wherein said entered orders indicate a quantity of said commodity for which a trader's orders have been filled at said corresponding prices.

71. A client system according to claim 37, wherein said static display of prices is displayed in at least one direction in numerical order.

72. A client system according to claim 37, wherein said static display of prices is displayed along a single line in numerical order.

73. A client system according to claim 37, wherein said display device displays a last traded quantity for said commodity in alignment with the price corresponding thereto.

74. The method of claim 22 wherein the market depth is based on an exchange order book and wherein the static display of prices does not move in response to the addition of a price to the exchange order book, the additional price comprising a displayed price.

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75. The method of claim 74 wherein the static display of prices does not move in response to the removal of a price from the exchange order book, the removed price comprising a displayed price.

76. The method of claim 22 wherein the market depth is based on an exchange order book and the static display of prices never moves in response to a price change in the exchange order book relating to a price which is displayed.

77. The method of claim 22 wherein the plurality of additional parameters comprises a price and type of order.

41. A method for displaying market information relating to and facilitating trading of a commodity being traded in an electronic exchange having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the method comprising:

dynamically displaying a first indicator in one of a plurality of locations in a bid display region, each location in the bid display region corresponding to a price level along a common static price axis, the first indicator representing quantity associated with at least one order to buy the commodity at the highest bid price currently available in the market;

dynamically displaying a second indicator in one of a plurality of locations in an ask display region, each location in the ask display region corresponding to a price level along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market;

displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that when the inside market changes, the price levels along the common static price axis do not move and at least one of the first and second indicators moves in the bid or ask display regions relative to the common static price axis;

displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

selecting a particular location in the order entry region through a single action of a user input device to set a plurality of parameters for a trade order relating to the commodity and send the trade order to the electronic exchange.

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42. The method of claim 41 wherein the bid and ask display regions and the order entry region comprise columns with a plurality of cells that are displayed as a grid such that the cells of each column are aligned.

43. The method of claim 41 wherein the bid and ask display regions and the order entry region are oriented vertically.

44. The method of claim 41 wherein the bid and ask display regions and the order entry region are oriented horizontally.

45. The method of claim 41 wherein one of the plurality of locations of the bid display region comprises a blank region in which there is no first indicator displayed.

46. The method of claim 41 wherein one of the plurality of locations of the ask display region comprises a blank region in which there is no first indicator displayed.

47. The method of claim 41 further comprising the step of displaying at least a portion of the common static price axis in a price display region.

48. The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region comprise columns with a plurality of cells that are displayed as a grid such that the cells of each column are aligned.

49. The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region are oriented vertically.

50. The method of claim 47 wherein the bid display region, the ask display region, the order entry region and the price display region are oriented horizontally.

51. The method of claim 41 further comprising the steps of:

dynamically displaying a third indicator at one of the plurality of locations in the bid display region, the third indicator representing quantity associated with at least one

order to buy the commodity at a price different than the highest bid price currently available in the market; and

dynamically displaying a fourth indicator at one of the plurality of locations in the ask display region, the fourth indicator representing quantity associated with at least one order to sell the commodity at a price different than the lowest ask price currently available in the market.

52. The method of claim 51 wherein the first and third indicators are displayed in locations of the bid display region that are arranged along an axis which is parallel to the common static price axis.

53. The method of claim 51 wherein the second and fourth indicators are displayed in locations of the ask display region that are arranged along an axis which is parallel to the common static price axis.

54. The method of claim 51 wherein a location of the plurality of locations of the bid display region comprises a blank region in which there is no first or third indicator displayed.

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55. The method of claim 51 wherein a location of the plurality of locations of the ask display region comprises a blank region in which there is no second or fourth indicator displayed.

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56. The method of claim 51 further comprising the steps of:

displaying the first indicator at a first location associated with a first price level on the common static price axis at a first time; and

displaying the first indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

57. The method of claim 56 wherein the third and fourth indicators remain in the same location in the bid and ask display regions, respectively, before and after the first indicator is displayed at the second location.

58. The method of claim 57 wherein each location of the bid display region corresponds to a different price level along the common static price axis and each location of the ask display region corresponds to a different price level along the common static price.

59. The method of claim 51 further comprising the steps of:

displaying the second indicator at a first location associated with a first price level on the common static price axis at a first time; and

displaying the second indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

60. The method of claim 59 wherein the third and fourth indicators remain in the same location in the bid and ask display regions, respectively, before and after the second indicator is displayed at the second location.

61. The method of claim 60 wherein each location of the bid display region corresponds to a different price level along the common static price axis and each location of the ask display region corresponds to a different price level along the common static price.

62. The method of claim 41 wherein the order entry region comprises a bid order entry region comprising a plurality of locations for receiving commands to send buy orders, each location corresponding to a price level along the common static price axis, and an ask order entry region comprising a plurality of locations for receiving commands to send sell orders, each location corresponding to a price level along the common static price axis.

63. The method of claim 62 wherein the bid order entry region overlaps with the bid display region and the ask order entry region overlaps with the ask display region.

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Deleted: 55. The method of claim 54 wherein the bid and ask order entry regions are displayed in association with the common static price axis such that each of the plurality of locations for receiving commands is associated with a price level on the common static price axis.

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64. The method of claim 41 further comprising dynamically displaying an entered order indicator in association with the price levels arranged along the common static price axis.

65. The method of claim 64 wherein the entered order indicator is displayed in an entered order region.

66. The method of claim 41 further comprising dynamically displaying a last trade indicator in association with the common static price axis.

67. The method of claim 66 wherein the last trade indicator is displayed in a last trade region.

68. The method of claim 41 further comprising the steps of:

displaying the first indicator at a first location associated with a first price level on the common static price axis at a first time; and

displaying the first indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

69. The method of claim 41 further comprising the steps of:

displaying the second indicator at a first location associated with a first price level on the common static price axis at a first time; and

displaying the second indicator at a second location associated with a different price level on the common static price axis at a second time subsequent to the first time.

70. The method of claim 41 further comprising the steps of:

displaying the first indicator at a first location associated with a particular price level on the common static price axis; and

repositioning the common static price axis such that the first indicator is displayed at a second location associated with the particular price level on the common static price axis.

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71. The method of claim 41 further comprising the steps of:

displaying the second indicator at a first location associated with a particular price level on the common static price axis; and

repositioning the common static price axis such that the second indicator is displayed at a second location associated with the particular price level on the common static price axis.

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72. The method of claim 41 wherein the bid and ask display regions are displayed in different colors.

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73. The method of claim 41 wherein the first and second indicators are displayed in different colors.

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74. The method of claim 41 wherein the bid and ask display regions are displayed in a window further comprising centering the display of the first and second indicators in the window upon receipt of a centering instruction.

75. The method of claim 41 wherein the bid and ask display regions are displayed separately.

76. The method of claim 41 wherein the first and second indicators are based on an exchange order book and wherein the price levels along the common static price axis do not move in response to the addition of a price to the exchange order book, the additional price comprising a price for which there is a corresponding displayed location in at least one of the bid and ask display regions.

77. The method of claim 76 wherein the price levels along the common static price axis do not move in response to the removal of a price from the exchange order

book, the removed price comprising a price for which there is a corresponding displayed location in at least one of the bid and ask display regions.

78. The method of claim 41 wherein the first and second indicators are based on an exchange order book and the price levels along the common static price axis never move in response to a price change in the exchange order book relating to a price which corresponds to a displayed location in at least one of the bid and ask display regions.

79. The method of claim 41 wherein the plurality of parameters comprises a price and type of order.

76 A computer readable medium having program code recorded thereon for execution on a computer for displaying market information relating to and facilitating trading of a commodity being traded in an electronic exchange having an inside market with a highest bid price and a lowest ask price on a graphical user interface, the program code causing a machine to perform the following method steps:

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dynamically displaying a first indicator in one of a plurality of locations in a bid display region, each location in the bid display region corresponding to a price level along a common static price axis, the first indicator representing quantity associated with at least one order to buy the commodity at the highest bid price currently available in the market;

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dynamically displaying a second indicator in one of a plurality of locations in an ask display region, each location in the ask display region corresponding to a price level along the common static price axis, the second indicator representing quantity associated with at least one order to sell the commodity at the lowest ask price currently available in the market;

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displaying the bid and ask display regions in relation to fixed price levels positioned along the common static price axis such that when the inside market changes, the price levels along the common static price axis do not move and at least one of the first and second indicators moves in the bid or ask display regions relative to the common static price axis;

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displaying an order entry region comprising a plurality of locations for receiving commands to send trade orders, each location corresponding to a price level along the common static price axis; and

selecting a particular location in the order entry region through a single action of a user input device to set a plurality of parameters for a trade order relating to the commodity and send the trade order to the electronic exchange.

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1. A method of placing a trade order for a commodity on an electronic exchange using a client system with a user input device, the method comprising:

dynamically displaying a market depth of the commodity comprising information representing orders at an inside market and orders outside of the inside market through a display of prices and quantities of a plurality of bids and asks in the market for the commodity; displaying an order entry region comprising a plurality of areas for receiving commands to send trade orders, each area associated with a price of the display of prices;

initiating placement of a trade order relating to the commodity at a price outside of the inside market in response to a single action of the user input device with a pointer of the user input device positioned over an area in said order entry region associated with the price;

changing the price of the trade order based upon a preset parameter; and

sending the trade order to the electronic exchange in response to the single action of the user input device wherein the trade order comprises the modified price.

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15. A computer readable medium having program code recorded thereon for execution on a computer to place a trade order for a commodity on an electronic exchange, comprising:

a first program code for dynamically displaying a market depth of the commodity comprising information representing orders at an inside market and orders outside of the inside market through a display of prices and quantities of a plurality of bids and asks in the market for the commodity;

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a second program code for displaying an order entry region comprising a plurality of areas for receiving commands to send trade orders, each area associated with a price of the display of prices;

a third program code for initiating placement of a trade order relating to the commodity at a price outside of the inside market in response to a single action of the user input device with a pointer of the user input device positioned over an area in said order entry region associated with the price; and

a fourth program code for changing the price of the trade order based upon a preset parameter; and

a fifth program code for sending the trade order to the electronic exchange in response to the single action of the user input device wherein the trade order comprises the modified price.

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29. A client system for placing a trade order for a commodity on an electronic exchange, the system comprising:

a display device for dynamically displaying a market depth of the commodity comprising information representing orders at an inside market and orders outside of the inside market through a display of prices and quantities of a plurality of bids and asks in the market for the commodity;

a user input device for positioning a pointer thereof over an area in an order entry region, the order entry region comprising a plurality of areas, each area associated with a price of the display of prices, and for initiating placement of a trade order relating to the commodity at a price level away from the inside market through a single action of the user input device; and

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a trade order characteristics setting component for changing the price of the trade order based upon a preset parameter; and

a trade order sending component for sending the trade order to the electronic exchange in response to the single action of the user input device wherein the trade order comprises the modified price.

43. A method of placing a trade order for a commodity on an electronic exchange using a client system with a user input device, the method comprising:

dynamically displaying a market depth of the commodity comprising information representing orders at an inside market and orders outside of the inside market through a display of prices and quantities of a plurality of bids and asks in the market for the commodity;

setting a plurality of parameters for trading;

displaying an order entry region comprising a plurality of areas for receiving commands to send trade orders, each area associated with a price of the display of prices;

initiating placement of a trade order relating to the commodity at a price outside of the inside market in response to a single action of the user input device with a pointer of the user input device positioned over an area in said order entry region associated with the price; and

changing the price of the trade order based upon at least one of the preset parameters.

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Deleted: wherein a price of the trade order is based in part upon at least one of the parameters and the position of the pointer at the time of said single action.¶

From: Steve Borsand (TT) [Steve.Borsand@tradingtechnologies.com]
Sent: Friday, March 21, 2003 11:49 AM
To: Richard.Weisberger@USPTO.GOV
Subject: RE: proposed amendments

Richard – Attached is the language that we will use to replace the selecting limitation in what was numbered claims 41 and 76 of the '637 case. I know you said you didn't need to see it, but I just wanted to get this to you while we are preparing the amendment papers.

Thanks,

steve

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Friday, March 21, 2003 10:25 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: proposed amendments

Steve -

I'm quite satisfied with the amendments. The claims reflect with great precision the various functions of TT products. This process although somewhat arduous yielded a clear and definitive set of property boundaries, without limiting the scope of the claimed inventions unnecessarily. Follow up with the amendments and email your any notes that you have prepared directed to reasons for allowance.

Richard –

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, March 20, 2003 3:58 PM
To: richard.weisberger@uspto.gov
Subject: proposed amendments

Richard - Here are the proposed amendments in the 3 cases. The first file goes with the 590,692 case, the second is the 894,637 and the third is 589,751. The documents have redlined turned on to show the differences with the previous claims and which dependent claims are new. In the '751, the document contains just each independent claim and the changes thereto.

I will call you shortly.

Steve

<<692claimsamended.doc>> <<637claimsamend.doc>> <<751amend.doc>>

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

DIVIDER PAGE

Interview Summary	Application No. 09/590,692	Applicant(s) KEMP ET AL	
	Examiner Richard C Weisberger	Art Unit 3624	

All participants (applicant, applicant's representative, PTO personnel):

(1) *Richard C Weisberger*. (3) *Steve Borsand*.

(2) *Ankur Shah*. (4) *Monika Dudek/ Matt Sampson*.

Date of Interview: *13 March 2003* .

Type: a)☐ Telephonic b)☐ Video Conference
c)☒ Personal [copy given to: 1)☒ applicant 2)☐ applicant's representative]

Exhibit shown or demonstration conducted: d)☐ Yes e)☐ No.
If Yes, brief description: _____ .

Claim(s) discussed: *1* .

Identification of prior art discussed: *WO 00/52619, W0 01/16852, W0 00/62187, US 0138401* .

Agreement with respect to the claims f)☐ was reached. g)☐ was not reached. h)☒ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: *The prior art cited above was discussed, including elements of the disclosures relating to price displays and point and click technologies. A follow up telephone interview was scheduled for next week. At which time it will be determined if one or more of the references will be used to establish a prima facie office action.* .

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i)☑ It is not necessary for applicant to provide a separate record of the substance of the interview(if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required

Message

TRADING TECHNOLOGIES' FILE

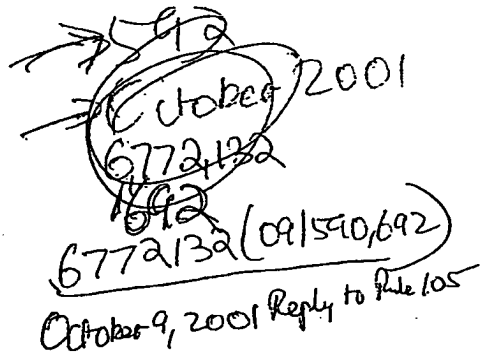
Owen, Karyon J.

From: Owen, Karyon J.
Sent: Tuesday, April 04, 2006 5:33 PM
To: 'richard.weisberger@uspto.gov'
Cc: 'Mark Triplett (TT)'; Chatterjee, Aaron C.; Owen, Karyon J.
Subject: please provide directions on how to reconstruct files for Patents 6,766,304 and 6,772,132

As per our telephone discussion yesterday, please provide information or directions on how we proceed with submitting copies of lost documents to a PTO file based on the following:

1) Patents **6,766,304** (09/894,637) and **6,772,132** (09/590,692) were lost and reconstructed.
2) However, some documents that were previously submitted to the PTO or issued by the PTO are missing from the file.
3) We want to submit the missing documents.
4) We want the submitted documents placed in the PTO file so that a certified copy of the file history is accurate and complete.

Thank you for providing direction in this matter.



DIVIDER PAGE

From: Mark Triplett (TT)
Sent: Wednesday, May 24, 2006 2:41 PM
To: 'Jackie.Waldo@USPTO.gov'
Subject: Re: Certified File Histories for U.S. Patent Nos. 6,772,132 and 6,766,304

Re: Certified File Histories for U.S. Patent Nos. 6,772,132 & 6,766,304

Hi Ms. Waldo,

I am patent counsel at Trading Technologies. Steve Borsand, who is VP of intellectual property at Trading Technologies, recently spoke to Wynn Coggins about the certified file histories of two patents of ours - see above - that are missing several documents, all of which were once a part of the official record. Wynn directed Steve, and now me, to you. I couldn't reach you over the telephone yesterday, but I left a voice mail message at your office. So, I thought it would be useful to follow up with this email. I have attached the missing documents to this email, but they include things like interview summaries (on PTO forms), request for certificate of correction, and a few appendices that were part of a response to an office action. All of these documents were once a part of the official file, but it has come to my attention that the certified file histories inadvertently do not include them. I would like for the certified file history to include these documents, if they don't already. The copies that I have attached here are from the file of record from Foley Lardner, the law firm who maintains our file for these patents.

Just so you know, these patents are currently being litigated. A party involved in the litigation has petitioned to include emails in these file histories, even though these emails were never part of the official record. In my opinion these emails are not substantive and they do not add anything to the record, so I disagree with the petition. Unfortunately, the party's petition does not include most of the items that I submit in this email.

6,772,132:
1) Interview Summary 10/2001
2) Appendix A, C, and D from a response filed 10/2001
3) Interview Summary 03/2003
4) Req. Cert. of Correction

6,766,304:
1) Change of Correspondence
2) IDSs signed by the examiner
3) Interview Summary 09/2002
4) Terminal Disclaimer

I believe this is it. I will follow up with by telephone to see what else needs to be done. If you need anything else, please do not hesitate to contact me. Thanks for your efforts in this matter.

Best regards,

Mark W. Triplett
Patent Counsel
Trading Technologies International, Inc.
ph: 312.476.1151
fax: 312.476.1182
mark.triplett@tradingtechnologies.com

November 28, 2001

To: Ankur Shaw

From: Rich Weisberger

Ankur -

Attached is a copy of the interview summary of record. Due to a death in the family, I was unable to get it to you sooner. Expect a call from me this week, as I am completing the updated search. Lets put our 112 hats on and strengthen the claimed limitations at that time.

Richard -

Interview Summary	Application No. 09/590,692	Applicant(s) KEMP ET AL.	
	Examiner Richard C Weisberger	Art Unit 2164	

All participants (applicant, applicant's representative, PTO personnel):

(1) *Richard C Weisberger*.

(2) *Ankur Shaw*.

(3) *Michael Ryan*.

(4) *Gary Kemp*.

Date of Interview: *October 2001* .

Type: a)☐ Telephonic b)☐ Video Conference
c)☐ Personal [copy given to: 1)☒ applicant 2)☒ applicant's representative]

Exhibit shown or demonstration conducted: d)☒ Yes e)☐ No.
If Yes, brief description: *Trading Technologies Prior Art Software* .

Claim(s) discussed: *All* .

Identification of prior art discussed: *Applicants Prior Art* .

Agreement with respect to the claims f)☒ was reached. g)☐ was not reached. h)☐ N/A.

Substance of interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: *The applicant demonstrated the claimed and prior art trading technologies' software, highlighting those features of the claimed invention not found in the prior art. Agreement was reached that the claimed invention, subject to a second review under 112 2nd Paragraph and an updated search, is allowble over the prior art* .

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i)☐ It is not necessary for applicant to provide a separate record of the substance of the interview(if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required

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FACSIMILE TRANSMISSION

Total # of Pages 3 (including this page)

TO:	PHONE #:	FAX #:
Michael G. Ryan Trading Technologies	(847) 448-8409	(847) 448-8533

From:	Ankur D. Shah
Sender's Direct Dial:	202.945.6132
Date:	December 11, 2001
Client/Matter No:	24051-0101
User ID No:	0738

MESSAGE:

Here is a copy of the fax received from the Examiner.

-Ankur D. Shah

If there are any problems with this transmission or if you have not received all of the pages, please call 202.672.5340.

Operator:	Time Sent:	Return Original To:
		Ankur D. Shah

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7/3/01

APPENDIX A

Market Depth Display and Click Based Trading

I. Introduction & Background

A. Introduction

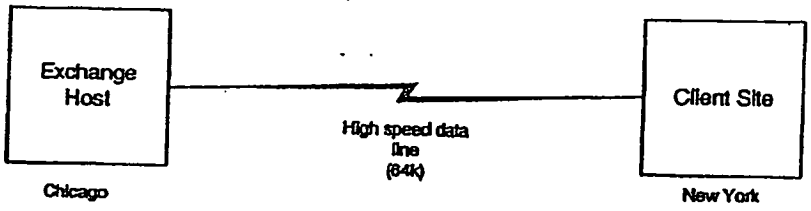
Trading Technologies has developed software that will enable traders of any product that can be traded (a "commodity") on an electronic exchange or electronic marketplace to send orders with a single click of a computer mouse. Three of the most innovative features of Trading Technologies' trading method are the "Click" and "Dime" trading methods and the "Mercury" display and trading method. Click and Dime trading methods enable a trader to execute single click trades for large volumes of commodities at a price within a pre-specified range. The Mercury display and trading method ensure fast and accurate execution of trades by displaying market depth on a vertical plane, which fluctuates logically up or down as the market price moves up or down. A trader can trade quickly and efficiently using this display. This document sets forth the background of electronic trading and describes Trading Technologies' innovative Click and Dime trading and the Mercury display.

B. Background of Electronic Exchanges and Traders' Needs in Electronic Exchanges

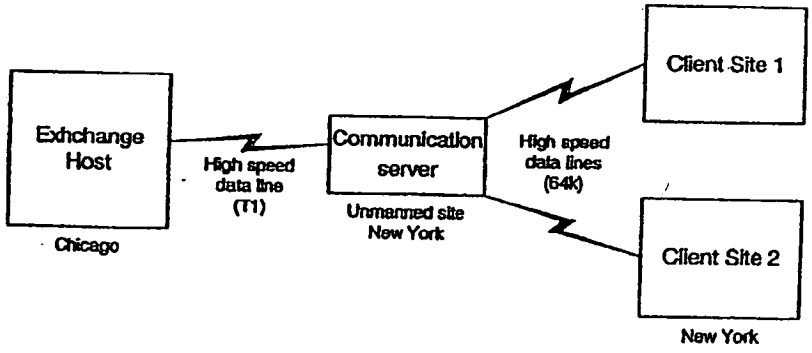
Approximately 60 exchanges throughout the world utilize electronic trading in varying degrees to trade stocks, bonds, futures, options and other products. These electronic exchanges are based on three components: mainframe computers (host), communications servers, and the exchange participants' computers (client). The host forms the electronic heart of the fully computerized electronic trading system. The system's operations cover order-matching, maintaining order books and positions, price information, and managing and updating the database for the online trading day as well as nightly batch runs. The host is also equipped with external interfaces that maintain uninterrupted online contact to quote vendors and other price information systems.

Traders can link to the host through three types of structures: high speed data lines, high speed communications servers and the internet. High speed data lines establish direct connections between the client and the host. For example, while the data line size and speed may vary, a high speed data line connection between a Chicago exchange and a New York trader might be configured like this:

7/3/01



Another connection can be established by configuring high speed networks or communications servers at strategic access points worldwide in locations where traders physically are located. Data is transmitted in both directions between traders and exchanges via dedicated high speed communication lines. Such a connection between a Chicago exchange and multiple New York traders might be configured as follows:



Most exchange participants install two lines between the exchange and the client site or between the communication server and the client site as a safety measure against potential failures. An exchange's internal computer system is also often installed with backups as a redundant measure to secure system availability.

The third connection utilizes the internet. Here, the exchange and the traders communicate back and forth through high speed data lines, which are connected to the internet. This allows traders to be located anywhere they can establish a connection to the internet. Such a connection might be configured as follows:

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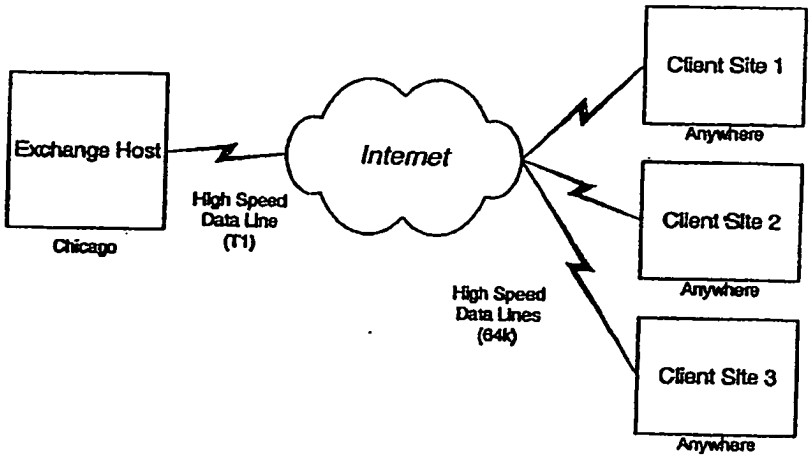

Regardless of the way in which a connection is established, the exchange participants' computers allow traders to participate in the market. They use software that creates specialized interactive trading screens on the traders' desktops. The trading screens enable traders to enter and execute orders, obtain market quotes, and monitor positions. The range and quality of features available to traders on their screens varies according to the specific software application being run. The installation of open interfaces in the development of an exchange's electronic strategy means users can choose, depending on their trading style and internal requirements, the means by which they will access the exchange.

C. Importance of Speed for Traders

The world's stock, bond, futures and options exchanges have volatile products with prices that move rapidly. To profit in these markets, traders must be able to react quickly. A skilled trader with the quickest software, the fastest communications, and the most sophisticated analytics can significantly improve his own or his firm's bottom line. The slightest speed advantage can generate significant returns in a fast moving market. In today's securities markets, a trader lacking a technologically advanced interface is at a severe competitive disadvantage.

Regardless of what screen a trader uses to enter orders in the market, each market supplies and requires the same information to and from every trader. The bids and asks in the market make up the market data and everyone logged on to trade can receive this information if the exchange provides it. Similarly, every exchange requires that certain information be included in each order. For example, traders must supply information like the name of the commodity, quantity, restrictions, price and multiple other variables. Without all of this information, the market will not accept the order. This input and output of information is the same for every trader.

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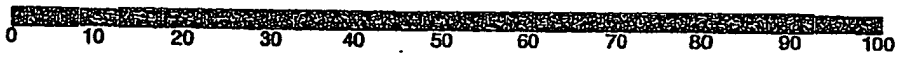
With these variables being constant, a competitive speed advantage must come from other aspects of the trading cycle. X_TRADER and Mercury provide a significant advantage during the slowest portion of the trading cycle-- while the trader manually enters his/her order. If one assumes the cycle of an electronic trade is broken down into 100 units, approximately 80 of those units are spent manually entering an order. This time continuum is demonstrated in the following diagrams:

Time Continuum
100 Units



Key:

Blue:	**Time between the host generating the price and the Client application receiving the price—*8 Units*.**
Green:	**Time it takes the client application to display the price to the trader—*4 Units*.**
Red:	**Time it takes trader to read the prices and enter an order—*80 Units*.**
Purple:	**Time it takes for order to return to the Host—*8 Units*.**

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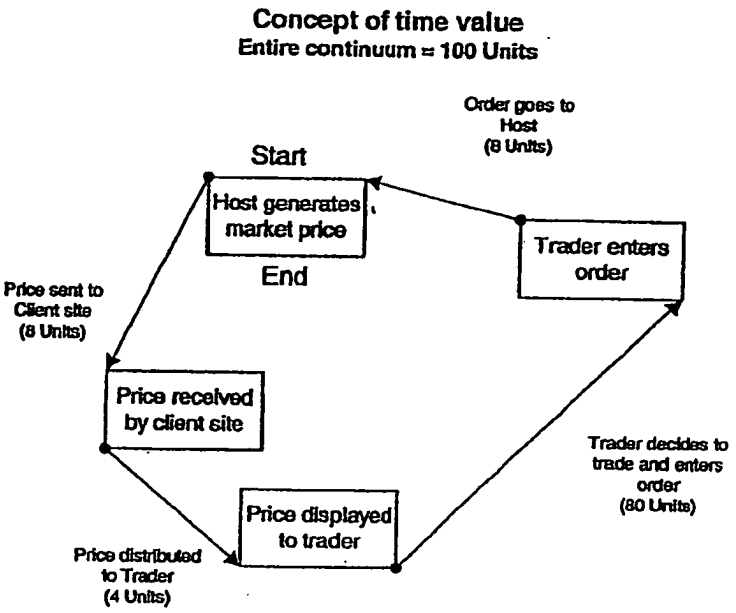

The Mercury Display, Click and Dime trading simplify the manual motion involved, which results in significant time savings. Traders recognize that the value of such time savings may amount to millions of dollars annually.

D. The Trading Technologies solution

One screen, many exchanges

Trading Technologies provides a comprehensive, turnkey solution to trading electronic markets. Trading Technologies' flagship product, the X_TRADER® Trading System, provides a single, advanced front-end design to trade multiple exchanges from one screen with single click trading and quoting with a complete range of execution tools. The screen can be displayed on a computer screen in many, customizable formats. For example, the following screen shot shows the most basic X_TRADER® screen, which displays the commodity being traded, the "inside market," and various trade execution buttons:

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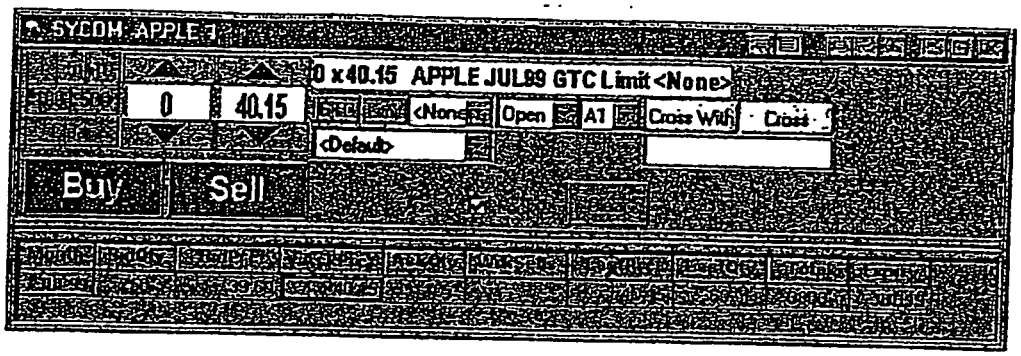
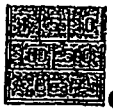
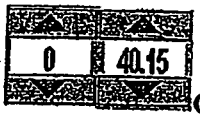


By default, both the Order Entry window and Market Grid open when a product is selected. The following key describes each field in the above screen.

Order Entry Window:


Quantity Buttons: The pre-set buttons in the upper left corner of the screen allow traders to quickly enter and increment a quantity. The quantity defaults are 1, 5, 10, 100, and 500. Traders may edit these buttons to reflect customized quantities. The Clear button located below the Quantity buttons can be used to clear the Quantity field.



Quantity/Price Fields: The order quantity appears immediately to the right of the Quantity buttons; the price field appears to the right of that. Each field has its own spinners-- the up and down arrows. Click on the spinners to increase and decrease the quantity and/or price.

Order Information: This field will automatically reflect the contract information provided when a trader left clicks on any row in the Market Grid. Information like quantity, price, product, month/year, and order restriction type will be displayed. This field will also display a "C" for call or "P" for put.

GTD/GTC/Date Button: Located immediately to the right of the price field, a trader would click this button to toggle between GTD (Good 'til Day), GTC (Good 'til Cancelled), and Date. The default selection is GTD. The X_TRADER GTD designation indicates the order will be valid for the current trading session only. The GTC designation indicates the order will be valid until the trader cancels the order or the

contract expires. The Date designation allows a trader to select an order expiration date. Selecting Date will open a calendar with the current date circled in red. The trader would select the expiration month and day for the order and press OK.

Limit (Market) Button: The trader would click this button, located to the right of the GTC button, to toggle between Limit (default) and Market orders.

Order Restrictions: Located to the right of the Limit button, a trader would click the Order Restrictions pull down menu to designate any restrictions on the order. Available restrictions include: None, DiscQty, FOK, IOC, MV, and STOP.

None: No additional restrictions are placed on the order.

DiscQty: Disclose Quantity—disguise trading volume by disclosing a partial amount of total quantity. When selected quantity box will open on the Order Entry window.

FOK: Fill or Kill—defined as an immediate fill of the entire quantity or if this is not possible, an immediate cancellation of the order.

IOC: Immediate or Cancel—defined as an immediate partial fill before the balance is cancelled.

MV: Minimum Volume—defined as the minimum volume of partial fills. The default is zero. The minimum volume is entered on the Order Entry window. When this restriction is chosen, a field labeled Min Vol will appear. The trader would then enter the minimum volume quantity, and place the order.

STOP: The Stop order price triggers a market buy or sell order. When the STOP restriction is chosen, a field labeled Stop Pre will appear. The trader would then enter the trigger price, and place the order. A stop order is displayed in the Order Book with a "Working" status, but it is not actually in the market. A negative order number (-###) is displayed indicating that it is a "synthetic" order. When the stop triggers, the order becomes the native order type and remains in the Order Book until filled.

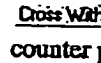
If the trader who originated the order is not logged in when the order is triggered, the order will be sent to market with the trader ID of another trader with the same Group ID. If another trader is not available, the order status will change from "Working" to "Hold" until the order is resubmitted by the original trader or a trader with the same Group ID.

Open/Close: Located to the right of the Order Restrictions button, this pull down menu allows the trader to choose an Open Position or Close Position. This enables a trader to send an order at the open or close of the market.

Acct: A trader can select one of the following account types (A1 is selected in the above example):

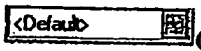
A1	First Agent Account (e.g., broker)
G1	Pre-Designated Giveup Trade
G2	Designated Giveup Trade
M1	First Market Maker Account

M2 Second Market Maker Account
P1 First Principal Account (e.g., proprietary trader)
P2 Second Principal Account
U1 Unallocated—for orders that have not been allocated to a customer account or where allocation is a middle/back office function.



Cross With: A trader would click the Cross With button to trade with a specific counter party. The trader would enter the counter party's Trader ID where indicated.

Cross: The trader would click the Cross button to perform a cross trade. The Order Entry pane will change to display the appropriate fields to perform a cross trade—including **BUYER** and **SELLER** drop lists of customer accounts. In addition, the **BUY** and **SELL** buttons will be replaced by **BUY FIRST** and **SELL FIRST** buttons.



Customer Selection Field: The Order Entry window Customer Selection drop list is located below the GTD and Limit buttons. This field displays the current customer defaults profile in use.

Buy and Sell Buttons: Traders click these buttons to send an order to market.

Lock: When the Lock box is checked, a buy or sell confirmation is requested before sending an order to market. After pressing the buy or sell button, the appropriate button title will change to **Apply Buy** or **Apply Sell**. A trader would click the appropriate button to confirm the order and send the order to market. To cancel the order (prior to sending it to the market), a trader would click the Clear button.

Clear: The Clear button located to the right of the Lock check box and below the order type information will clear all contract, price, and quantity data without sending the order to market. Note: the Quantity Clear button is located below the quantity buttons. This button will change the Quantity to zero without impacting the other fields.

The Market Grid:

The market grid appears as follows:

The market grid can display price, quantity, the month of expiration and a long list of other information. The Bid and Ask quantities and prices in the above market grid represent the "Inside Market," which is the best bid and ask quantities and prices in the

market. The figures are displayed dynamically in real time and are provided directly from the exchange on which the trader is trading. Not all exchanges provide data for all of the available market grid columns, but to the extent the market provides the information, each column of the Market Grid can be customized to include or exclude any of the following fields:

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COLUMN	DESCRIPTION	COLUMN	DESCRIPTION
Month	Expiration Month/Year	TheoBid	Theoretical Bid Price
Bid Mbr(1)	Bid Member ID	TheoAsk	Theoretical Ask Price
WrkBuys(2)	Working Buys for entire Group ID	QAct	Quote Action (Sends Individual quotes)
BidQty	Bid Quantity	BQQ	Test Bid Quote Quantity
ThrshBid(5)	Threshold Bid Price	BQP	Test Bid Quote Price
BidPrc	Bid Price	Mkt BQQ	Market Bid Quote Quantity
Bid Qty Accum	Accumulated Bid Quantity	Mkt BQP	Market Bid Quote Price
BidPrc Avg	Bid Price Average	Quote	Checkbox activates / deactivates contract for quoting
AskPrc Avg	Ask Price Average	Mkt AQQ	Market Ask Quote Quantity
AskQty Accum	Accumulated Ask Quantity	Mkt AQP	Market Ask Quote Price
AskPrc	Ask Price	AQP	Ask Quote Price
ThrshAsk(5)	Threshold Ask Price	AQQ	Ask Quote Quantity
AskQty	Ask Quantity	Imp BidQty(5)	Implied Bid Quantity
WrkSells(2)	Working Sells for entire Group ID	Imp BidPrc(5)	Implied Bid Price
Ask Mbr(1)	Ask Member ID	Imp AskQty(5)	Implied Ask Quantity
NetPos	Net Position	Imp AskPrc(5)	Implied Ask Price
FFNetPos	Fast Fill Net Position	Gamma(3)	Change in Delta given 1 pt change in underlying
LastPrc	Last Price	Delta(3)	Change in price given 1 pt change in underlying
LastQty	Last Quantity	Vola(3)	Percent volatility
Total	Total Traded Quantity	Vega(3)	Price change given 1% change in Vola
High	High Price	Rho(3)	Price change given 1% change in interest rate
Low	Low Price	Theta(3)	Price change for every day that elapses
Open	Opening Price	Click Trd	Activate / deactivate click trading by contract
Close	Closing Price	S (Status)	Auction, Closed, FastMkt, Not Tradable, Pre-trading, Tradable, S = post-trading
Chng	Last Price-Last Close	Expiry	Expiration Month/Year
TheoPrc	Theoretical Price		

[1] If supplied by the exchange/marketplace
[2] WrkBuys and WrkSells reflect the total number of working contracts for your entire group across all prices. Group ID from exchange login: e.g., AAAAABBB001--AAAAA represents Member ID, BBB represents Group ID, and 001 represents Trader ID. One or more traders may be assigned the same Group ID.
[3] Options Theoretical Pricing Model (Theo Server) data categories
[4] When the Click Trd check box is deselected (blank), click trading is disabled for that strike/expiry. If click trading is attempted for this contract, the Audit Trail will display and error message.
[5] For options there are two sets of these columns (put and call sides). Use of these columns is exchange dependent. LIFFE supports implied pricing with the exception of strategies. Calculate implied prices for strategies using Excel.
[6] Threshold prices for MATIF and MONEP are the upper and lower price reasonability limits established by the exchange. If trading occurs outside the thresholds, the exchange will cease trading for the product. A frozen market requires manual release by the exchange.

For purposes of this patent, it is important to understand the following Market Grid data elements or fields:

BidQty (Bid Quantity):	This column displays the quantity for each working bid.
BidPrc (Bid Price):	This column displays the price for each working bid.
AskPrc (Ask Price):	This column displays the quantity for each working ask.
AskQty (Ask Quantity):	This column displays the price for each working ask.
LastPrc (Last Price):	This column displays the price for the last bid and ask that were matched in the market.

Order entry without Click and Dime trading

When using an electronic trading system, traders typically execute a trade with the above screen or one similar to it. To enter an order, the trader inputs the desired commodity, quantity, price, any order restriction and then clicks on the "buy" or "sell" button. Electronic exchanges require this type of information to be submitted before an order will be accepted.

Using the simplest window in X_TRADER®, the trader would position the cursor with his mouse and click on the appropriate fields. To select the quantity, the trader would move the cursor to the upper left quadrant of the screen and click the 1, 5, 10, 100 or 500 or click the up or down arrows, which border the quantity field (the white field above showing "0") until the appropriate quantity appeared. Second, the trader would enter the price he is willing to accept or pay by clicking the up or down arrows, which border the price field (the white field above showing "40.15"). Third, the trader would implement any order restrictions by clicking the GTD (good 'til day), GTC (good 'til cancel), Limit, or other order restriction on the pull down menu next to the Limit button. Fourth, the

trader would select the appropriate account on the pull down menu to the right of the order restriction field. Finally, the trader would click the buy or sell button to send the order to market. A trader using any other trading screen would execute the same or similar actions.

The requirement of having to set multiple elements of an order, as described above, prior to an order being sent to market, is obviously time consuming for the trader. The more time a trader takes entering an order, the more likely the price he wanted to bid on will change or not be available in the market. The market is fluid as many traders are sending orders to the market simultaneously. It fact, successful markets strive to have such a high volume of trading that any trader who wishes to enter an order will find a match and have the order filled quickly, if not immediately. In such liquid markets, the prices of the commodities fluctuate rapidly. On a trading screen, this results in rapid changes in the price and quantity fields within the market grid. If a trader intends to enter an order at a particular price, but misses the price because the market prices moved before he could enter the order, he may lose hundreds, thousands, even millions of dollars. The faster a trader can trade, the less likely he'll miss his price and the more likely he will make money.

II. The Inventions

Trading Technologies' inventions dramatically reduce the time it takes a trader to manually execute a trade when electronically trading on an exchange. As a result, a trader's chances of filling orders at desirable prices and quantities increase.

A. Market Depth

- *INNOVATION #1: DISPLAY OF MARKET DEPTH HORIZONTALLY UNDER THE INSIDE MARKET*

Trading Technologies has developed the advanced concepts of Click and Dime trading and the Mercury display. These concepts display "Market Depth" and allow traders to view the Market Depth and to execute trades within the Market Depth with a single click of a computer mouse button. Market Depth represents the order book with the current bid and ask prices and quantities in the market. In other words, Market Depth is each bid and ask that was entered into the market that is not the inside market—market depth falls outside the market.

The market sends the price, order and fill information to each trader on the exchange. Trading Technologies software processes this information and maps it through simple algorithms to positions in a theoretical grid program. The grid program is proprietary software licensed to Trading Technologies that enables X_TRADER® to align the information on a screen in the format desired.

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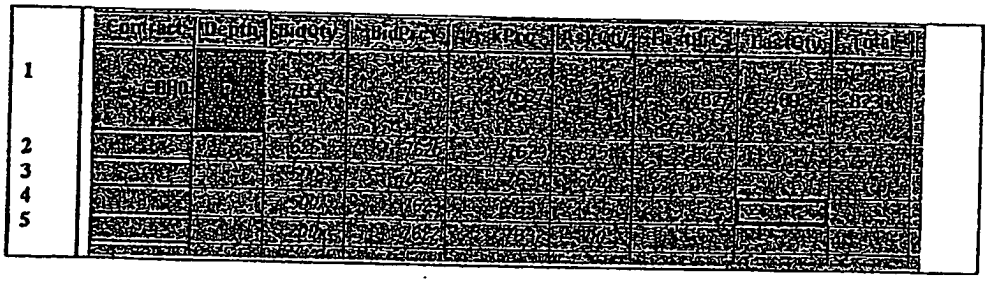
How far into the market depth X_TRADER® can display depends on how much of the market depth the exchange provides. Some exchanges supply an infinite market depth, while others provide no market depth or only a few trades away from the inside market. Each trader can also chose how far into the market depth he wants to display on his screen.

Traders gain a significant advantage by seeing the market depth because they can see trends in the orders in the market. If a large amount of bids or asks are in the market near the trader's position, he may feel he should sell or buy before the inside market reaches the morass of orders. A lack of orders above or below the inside market might prompt a trader to enter orders near the inside market. Without seeing the market depth, no such strategy could be utilized.

X_TRADER® displays market depth in the Market Grid as follows:



Row 1 represents the "Inside Market," which is the best bid price and quantity and the best ask price and quantity

Rows 2-5 represent the "Market depth."

Market Depth will list all available next-best bids and asks. The working buy and sell quantities for each price level will be displayed. Prices and quantities for the inside market and market depth update dynamically on a real time basis as such information is relayed from the market.

The Market Depth column will inform the trader of its status by displaying different colors. Yellow indicates that the application is waiting for data. Red indicates that the Market Depth has failed to receive the data from the server and has "timed out." Green indicates that the data has just been updated.

Note that any standard method may be used for displaying this and other data on the screen. By way of example, but not by way of limitation, each tradeable object is identified by a key string. A standard mapping table may be used to map the tradeable objects onto appropriate cells in a screen display.

When the system is designed to receive data from multiple exchanges, then the preferred implementation is to translate the data from various exchanges into a simple format. This

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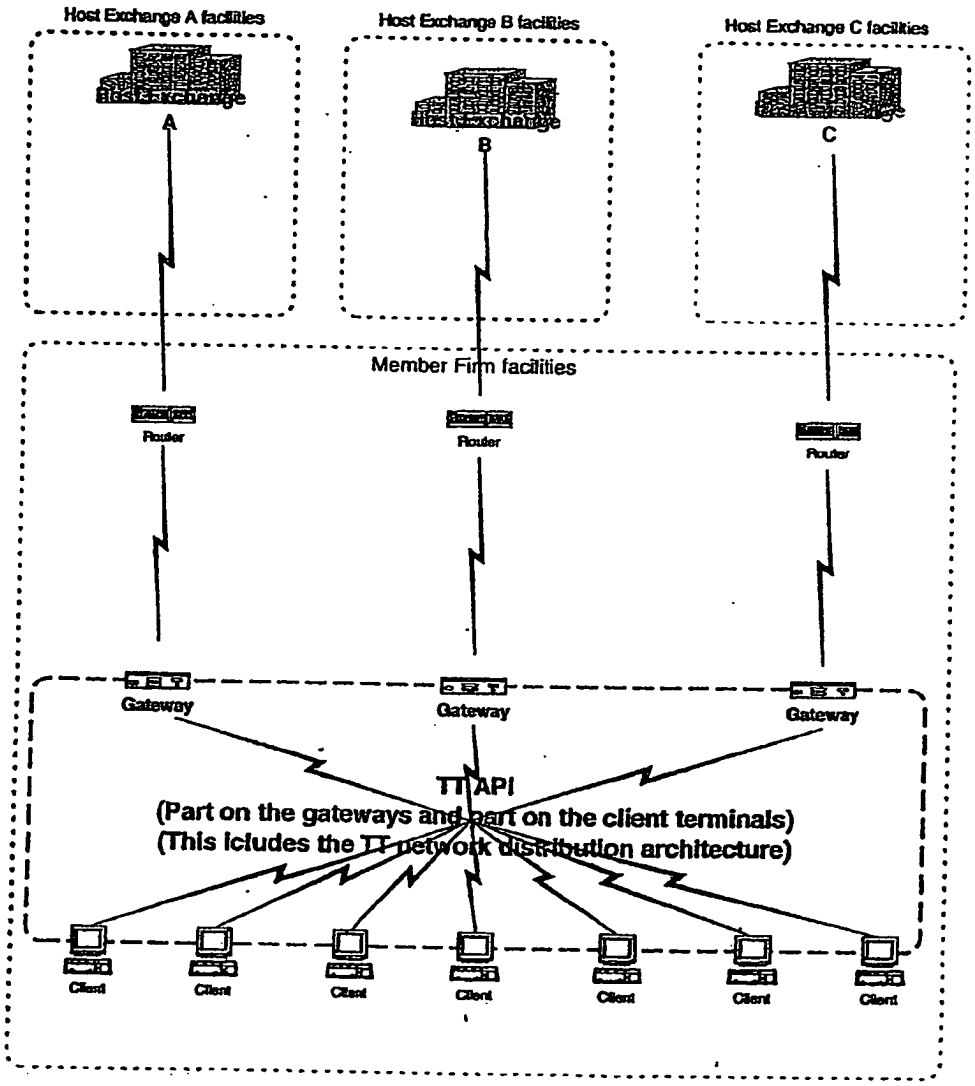
"translation" function is illustrated in Fig. ___. The Trading Technologies applications program interface ("TT API") depicted in Fig. __ translates the incoming data formats from the different exchanges to a simple preferred data format. This translation function may be disposed anywhere in the network, for example, at the gateway server, at the individual workstations or, as in Fig. ___, at both. The gateway servers and the client workstations also cache historical data such as order books.

Connection to multiple exchanges



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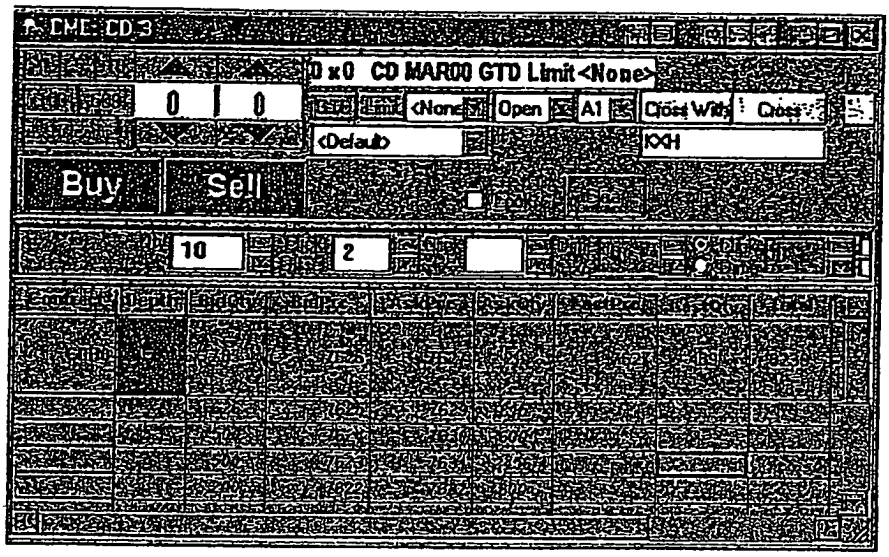
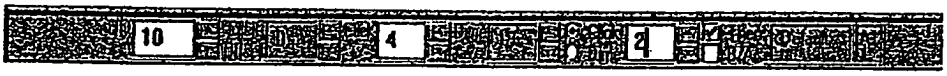
The entire window with Market Depth can be formatted to appear on the trader's screen as follows:



B. Click Trading

- *INNOVATION #2: TRADING BASED ON MULTIPLE VARIABLES WITH A SINGLE CLICK IN THE HORIZONTAL MARKET DEPTH*

Click Trading enables a trader to execute trades with a single click within the market depth. The trader inputs a quantity and price range once and then sends orders to market with one click on a price field in the Market Depth grid. Utilizing the traditional X_TRADER® screens, a trader would enable Click trading in a context menu selection, which would add the following screen to the X_TRADER® screen displayed above:



- *INNOVATION #3: METHODOLOGY OF SETTING PRE-SPECIFIED VARIABLES WITH CLICKS IN EACH FIELD*

The number in each field may be adjusted up or down automatically by clicking in the field itself. There is no need to click the arrow buttons to the right of each field. For example, the Qty (Quantity) field, which represents the amount of the commodity to be traded can be adjusted simply by clicking in the white field rather than clicking the up or down buttons. The maximum order quantity is 9999.

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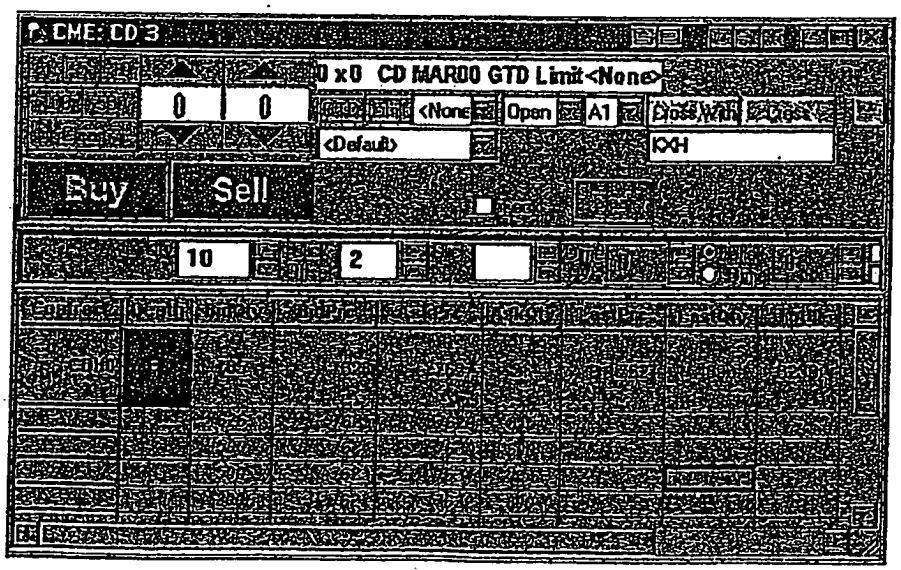
• *INNOVATION #4: CLICK OFFSET SAFETY MECHANISM FOR CLICK TRADING*

The Click Offset field, which is inactive in the above screen shot, and thus greyed out, is a safety device used with the Click trading mode that won't allow a trader to send an order that is too far away from the Last Traded Price. Effectively, the trader establishes a floor or ceiling above or below the last traded price by enabling Click Offset. To use the Offset feature, a trader would set the +/- value to zero. He would then set a figure in the Click Offset field. This will halt any orders that are above or below the last traded price by at least the number of ticks in the Click Offset field. A "tick" is the minimum change in a price value that is set by the exchange for each commodity (for example, $.01, $.05, $.10 or any other value).

Without the Click Offset feature, a trader might intend to click on a particular price, but between the time he decides to do so and the time he actually clicks (which may be only hundredths of a second) the price may change. He may not be able to stop the downward motion of his finger and the order would be sent to market at the wrong price. Sometimes the change in price is significant and could cost the trader a lot of money.

Using Click Offset a trader could trade in the market depth, but no order would be sent to market that is entered by the trader for a price further from the last price than the figure displayed in the Click Offset field.

Using the following screen shot, the following trading scenario could take place:



- Because the Click Offset field is in use, the trader cannot trade more than 2 ticks from the last traded price. In this screen, the last traded price is 7627 so the trader might right click on 7629, which is one row below the inside market ask price. This would send a buy order to the market for his previously entered quantity (10 in the screen above) for 7627. Because this is within two ticks of the last traded ask price, the order would go to the market. All 10 lots would be filled because there are 836 (815 plus 21) lots in the market at least at this price.
- If the trader clicked on 7630 or higher, he could not enter a trade because the price is greater than 2 ticks above the last traded price.

- ***INNOVATION #5: PRICE SETTING AUGMENTATION BASED ON A PRESET VARIABLE (CLICK +/-)***

Trading with Click +/- allows a trader to chase a fast moving market up to a certain amount of ticks. A trader would set the number of ticks in the Click +/- field once. He would then be able to send orders to market with a single click in the market depth for a price up to (or down to if selling) the price clicked plus (or minus if selling) the number of ticks in the Click +/- field. The best available order in the market within the preset parameters would be filled.

If the market was moving fast and the inside market was rapidly increasing or decreasing (or both alternatively), Click +/- will insure that the trader can keep up with the changes. Using the traditional electronic trading method, he might not be able to sell or buy large quantities at or near the price he needs because the prices moved before he could enter all of the required data. Using Click +/-, he can trade pre-specified quantities at any chosen price plus or minus the ticks chosen. This might insure that his trades get filled before the market moves away.

The following screen depicts Click trading with the Click Offset feature disabled and a Click +/- quantity greater than 0 entered. This entry will enable the trader to trade at any price he clicks in the market grid and enter an order for up to (or down to if selling) 5 ticks above (or below) the clicked price.

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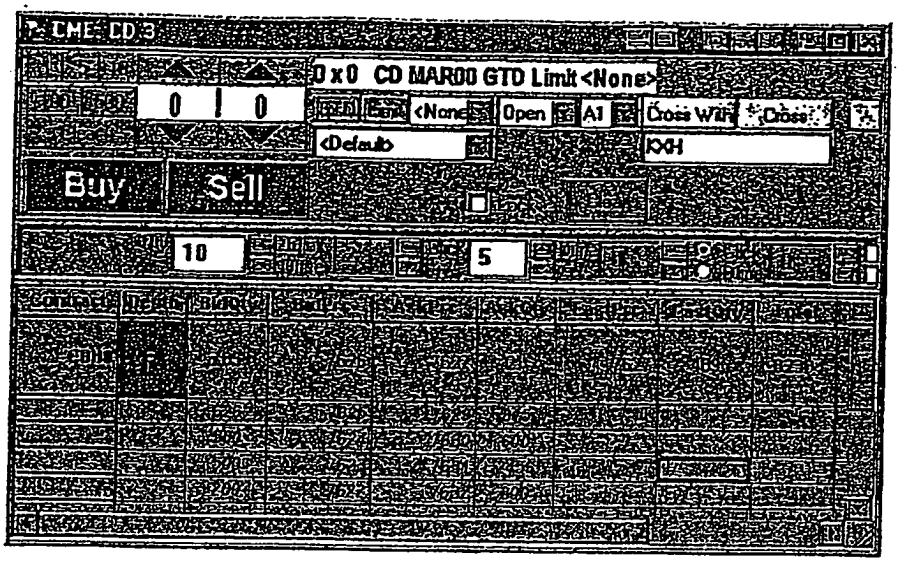

In the above screen shot the following trading scenarios might take place:

- The trader seeks to sell 10 lots, so he clicks on the 7623 Bid Price, which is three below the inside market. This will send an order to market to sell 10 lots for as low as 7618 (7623 minus 5 ticks). The best available price will be filled first. Thus, in this scenario, all 10 lots will be filled because offers exist in the market place in this price range that amount to many more than 10 lots. Note that without Click Offset enabled, this trade will go through regardless of how far away from the Last Price it is.
- The trader would buy 10 lots for as much as 7635 by clicking on the 7630 field in the Ask Price column. All of these orders will also be filled.

Equations for Innovations 4 & 5:

The concepts set forth in Innovations 4 & 5 can be reduced to the following formulas:

KEY:
Ask Price clicked with Click trading button = A
Bid Price clicked with Click trading button = B
Last Traded Price = L
Click Offset value = Off
Click +/- value = C
Quantity = Q
Buy limit order sent to the market = Bo
Sell limit order sent to the market = So

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Equations:

If C > 0 then Bo = (A + C)Q

If C > 0 then So = (B - C)Q

If C = 0 and if absolute value of (L-A) > Off then NO ORDER SENT

If C = 0 and if absolute value of (L-B) > Off then NO ORDER SENT

If C = 0 and if absolute value of (L-A) ≤ Off then Bo = (A)Q

If C = 0 and if absolute value of (L-B) ≤ Off then So = (B)Q

- *INNOVATION #5: SAFETY OVERRIDE AND PRICE SETTING AUGMENTATION BASED ON A PRESET VARIABLE (DIME +/-)*

Dime trading allows traders to join the market at a value above or below the best bid or ask by a specified number. Using Dime +/- a trader would enter orders into the market that would not be filled until an equal match met the order in the market. The trader would select the quantity as he did when Click trading and enter the tick amount in the "dime +/-" field. A setting of zero ("0") ticks will enter an order for the price clicked. A tick setting of any amount greater than or less than zero ("0") sends an order to the market for the price clicked plus (minus if selling) the dime +/- setting. If the trader clicked on the Bid order column, a bid would be sent, while a click on the Ask column would send an Ask order. This type of trading may be utilized to join the market or to move the prevailing prices up or down.

The following screen shot shows an X_TRADER® screen with dime trading enabled:

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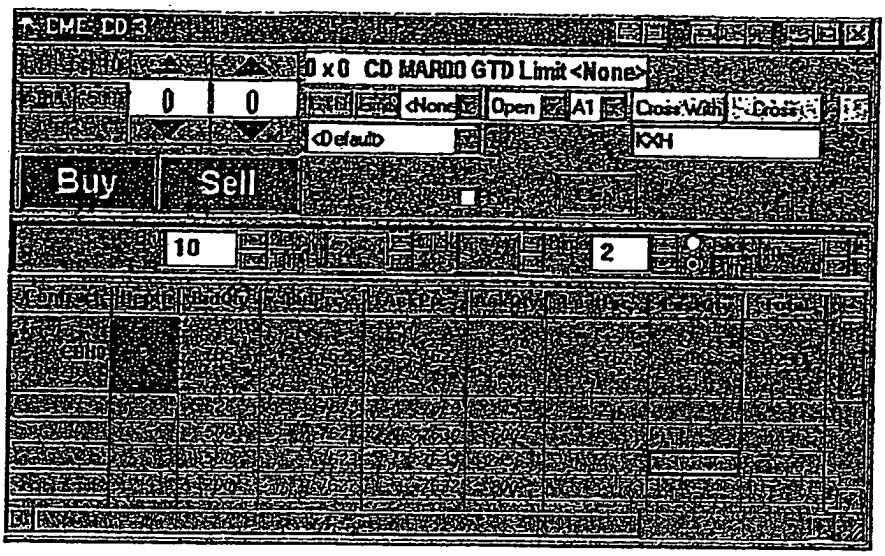

Using the above screen shot, the following trading scenarios could take place:

- In this screen, the trader might right click on 7622, which is four rows below the inside market bid price. This would send a buy order to the market for his previously entered quantity (10 in the screen above) for 7624 or better (up to two ticks above the clicked price). Nothing would be filled at this point. Rather, the orders would be placed in the market as a Bid limit order at 7624 and would only be filled if an Ask order entered the market for 7624 or better.
- If Dime +/- was set at a negative number, for example -3, a right click on 7622 in the BidPrc column would enter a Bid limit order for 7619. None of these would be filled in the market until the asks meet or beat 7619.

Equations for Innovation #6

Dime trading can be reduced to the following formulas:

KEY:
Ask Price clicked with Dime trading button = A
Bid Price clicked with Dime trading button = B
Dime +/- value = D
Quantity = Q
Buy limit order sent to the market = Bo
Sell limit order sent to the market = So

Equations:

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Bo = (A + D)Q
So = (B – D)Q

- *INNOVATION #6: USE OF A THREE BUTTON MOUSE WHEN TRADING IN A HORIZONTALLY DISPLAYED DEPTH OF MARKET WHERE THE MIDDLE MOUSE BUTTON EFFECTS DIME TRADING AND THE RIGHT MOUSE BUTTON EFFECTS CLICK TRADING*

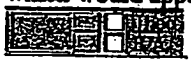
If using a three-button mouse, the trader would "dime" the market with a single click of the middle mouse button. If the trader selected a 3 button mouse in the Click Trading Properties setup, these radio buttons are inactive . A trader would simply maneuver the screen cursor above the price in the market depth and click the middle button. A dime trading order would be sent to market in the manner described above.

Using the three button mouse, a click on the right mouse button with the cursor positioned above a price in the market depth would send a click trade to market as described above.

- *INNOVATION #7: USE OF A TWO BUTTON MOUSE WHEN TRADING IN A HORIZONTALLY DISPLAYED DEPTH OF MARKET WITH THE ABILITY TO TOGGLE (SWITCH BETWEEN) DIME AND CLICK TRADING WHERE THE RIGHT MOUSE BUTTON EFFECTS BOTH DIME AND CLICK TRADING DEPENDING ON WHICH IS ENABLED*

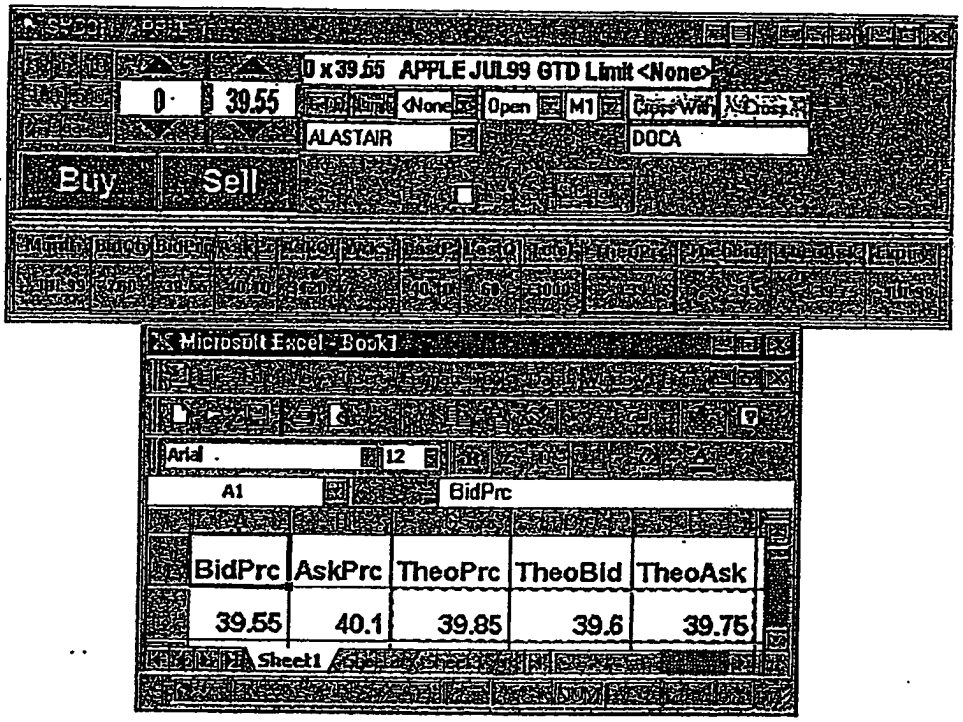
If using a two-button mouse, the dime radio button must be selected before using the right mouse button to send the order to market. If the trader's Click Trading Properties designates a 2 button mouse, these radio buttons are active and a trader must manually select Click or Dime trading modes. Once chosen, the trader can send as many orders as he desires, each with one click of the right mouse button and each either a Click or Dime order depending on which mode he chose.

- *INNOVATION #8: ABILITY TO AUGMENT CLICK TRADING LOGIC WITH THBO CHECK*

Traders may also enter or restrict trades based on pre-determined theoretical values. The values are derived from equations, which can be set up in various programs such as Excel (a Microsoft program) or other proprietary software other than X_TRADER®. X_TRADER® allows the trader to input the value derived from the equation into a field, which would appear below the following Theoretical Edge Implementation field:  The trader's click trades would then be restricted by this value and no order would be allowed that was not as good or better than the theoretical value. This value would be applied regardless of whether the trader attempted to buy or sell. Thus, if

the theoretical value was 102 and the trader attempted to click trade in the BidPrc column at 101, no order would be sent because the clicked value was worse than the theoretical value. Clicks on 102, 103, 104 or higher in the BidPrc column would be allowed because these would send orders as good as or better than the theoretical value.

To engage the theoretical price feature, the trader would click in the box next to "Theo" in the screen shot above. The theoretical values would be imported into X_TRADER® as demonstrated in the following screen shot:



• *INNOVATION #9: ABILITY TO AUGMENT CLICK TRADING LOGIC WITH B/A*

If the trader clicked in the box next to B/A in the screen shot above, a separate theoretical value could be established for each bid and ask. Separate bid and ask theoretical values would be established for each row in the market depth. Each attempted bid or ask order would be checked against each corresponding theoretical bid or ask value. If the clicked price is as good or better than the corresponding Bid or Ask theoretical value, then the order will be sent.

- *INNOVATION #10: ABILITY TO MODIFY EDGE FOR THEO CHECK*

Traders may also edge their trades away from the theoretical values described above. When Theo or B/A are checked, a white field appears in the box to the left of "Theo" and "B/A." Traders can input a number of ticks here which allows them to enter orders that are within the specified number of ticks away from the corresponding theoretical value. For example, with a 12.2 theoretical, a 12.6 market bid, and an edge value of 4 ticks, a trader's order to sell the bid will pass the edge test. But if the bid moved one tick lower, to 12.5, an attempt to sell would fail the edge test, because only 3 ticks of edge would be made on the trade.

Edge trading can also be used with the Click +/- setting. A trader who sets the +/- value to 4 ticks will construct a bid 4 ticks higher than the offer or an offer 4 ticks lower than the bid. If this constructed price fails the edge test, the order won't be sent.

X_TRADER MERCURY

As explained above, X_TRADER® greatly improves the speed and accuracy of electronic trading. However, the display of market depth and the manner in which traders trade within the market depth can be effected in different manners, which many traders will find materially better, faster and more accurate. Despite the safety feature of Click Offset and the innovative Click and Dime trading, which allow traders to keep up with fast moving markets, a fluid market can still leave a trader behind. Rapid price fluctuation may move the market beyond even the Click Offset and click and Dime trades. In addition, some traders may find the display of market depth to be difficult to follow. X_TRADER® lists charts the market depth vertically so that both Bid and Ask prices descend the grid. In X_TRADER®, the Bid prices descend the market grid as the prices decrease. However, in a somewhat counterintuitive manner, Ask prices also descend the market grid as these prices actually increase. Mercury remedies these issues in a new, innovative and logical manner. Mercury also provides an order entry system, market grid, fill window and summary of market orders in one simple window. Such a condensed display materially simplifies the trading system by entering a tracking trades in an extremely efficient manner.

- *INNOVATION #11: VERTICAL DISPLAY OF MARKET DATA INCLUDING MARKET DEPTH*

X_TRADER Mercury displays market depth in a logical, vertical fashion or horizontally or at some other convenient angle or configuration. A vertical field will be shown and described for convenience, but the field could be horizontal or at an angle.

In turn, Mercury further increases the speed of trading and the likelihood of entering orders at desired prices with desired quantities. Mercury displays a static vertical column

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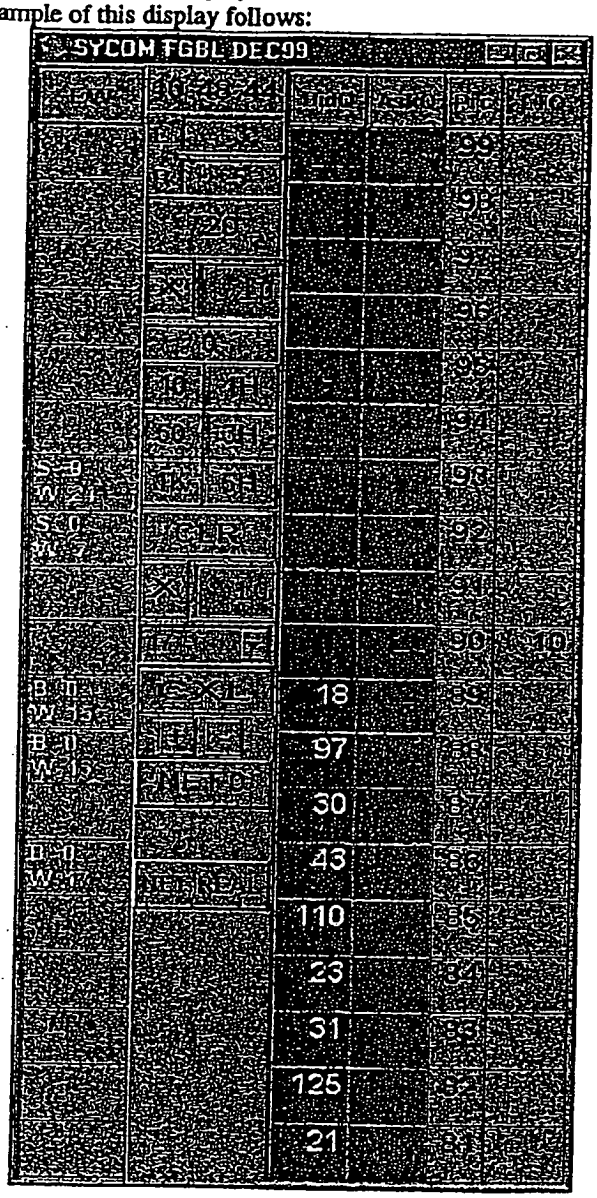
of prices with the bids and asks displayed in vertical columns to the side of the price column. An example of this display follows:



Bid quantities are in the blue column and ask quantities are in the red column. In this example, the inside market is 18 (best bid quantity) at 89 (best bid price) and 20 (best ask quantity) at 90 (best ask price).

Each field is described as follows:

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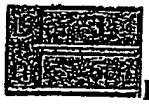
E/W column: This column (entered/working column) displays the current status of the trader's orders. The status of each order will be displayed in the price row where it was entered.

S/W: The number next to S indicates the number of the trader's ordered lots that have been sold at the price in the specific row. The number next to W indicates the number of the trader's ordered lots that are in the market, but have not been filled—i.e. the program is working on filling the order.

B/W: The number next to B indicates the number of the trader's ordered lots that have been bought at the price in the specific row. The number next to W indicates the number of the trader's ordered lots that are in the market, but have not been filled—i.e. the program is working on filling the order.

10:48:44: This is the actual time of day.



L/R: These fields indicate a quantity value, which may be added to the order quantity entered. This process is explained below.

Market Volume: Below the L and R fields, a number appears which represents the current market volume. This is the number of lots that have been traded for the chosen contract.

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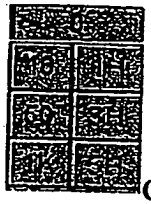
Net Quantity: This field displays the the current position of the trader on the chosen contract. The number represents the trader's buys minus sells.


Current Quantity: This field represents the quantity for the next order that the trader will send to market. This can be adjusted with right and left clicks (up and down) or by clicking the buttons which appear below the Current Quantity:.

Quantity Variables: These buttons increase the current quantity by the indicated amount—"10" will increase it by 10; "1H" will increase it by 100; "1K" will increase it by 1000.

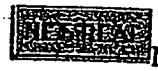
Clear: Clicking this button will clear the Current Quantity field.

Quantity Description: This pull down menu allows the trader to chose a Quantity Description.

#: Chosing a number in this field will set a default buy or sell quantity.
Offset: Chosing "offset" in this field will enable the L/R buttons.
NetPos: Choosing "NetPos" will set the current Net Quantity as the trader's quantity for his next trade.

+/-: These buttons will alter the size of the screen—either larger (+) or smaller (-).

Net 0: Clicking this button will reset the Net Quantity to zero.


Net Real: Clicking this button will reset the Net Quantity to its actual position.

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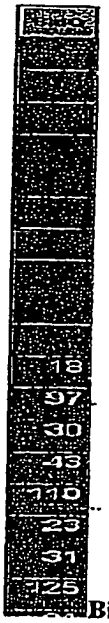
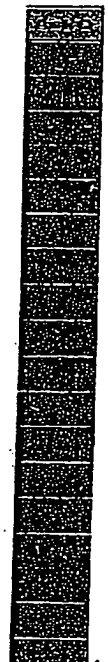


BidQ column: This column represents the current market bid quantities in the corresponding rows of each price.



AskQ column: This column represents the current market ask quantities in the corresponding rows of each price.

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Prc column: This column represents prices for the chosen commodity.

LTQ: This column lists the last traded quantity in the corresponding row of the last traded price.

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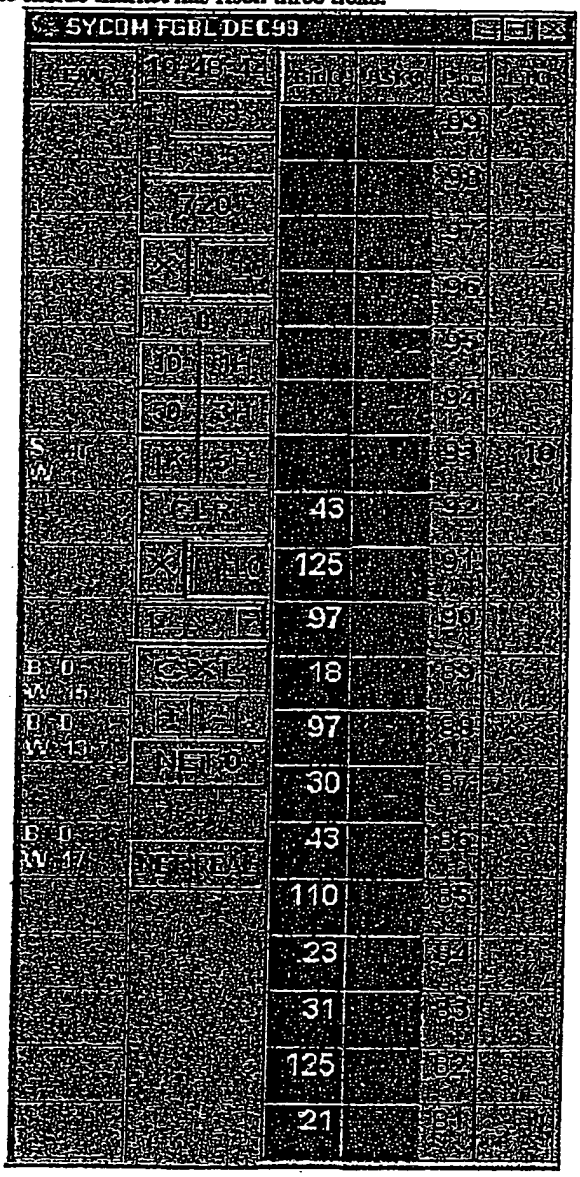
INNOVATION #12: THE DYNAMIC, VERTICAL DISPLAY OF MARKET MOVEMENT

The inside market and market depth ascend and descend as prices in the market increase and decrease. For example, the following screen depicts the same market at a later interval where the inside market has risen three ticks:



Now the inside market is at Price: 93 with the AskQ: 63 and the BidQ: 43. The price column remained static, but the corresponding bids and asks rose up the price column. Market Depth similarly ascends and descends the price column, leaving a vertical history of the market.

- ***INNOVATION #13: HORIZONTAL DISPLAY OF MARKET DATA INCLUDING MARKET DEPTH***

The same information and features can be displayed and enabled in a horizontal fashion.

- ***INNOVATION #14: THE DYNAMIC, HORIZONTAL DISPLAY OF MARKET MOVEMENT***

Just as the market ascends and descends the vertical Mercury display, the market will move left and right in the horizontal Mercury display.

- ***INNOVATION #15: SINGLE CLICK ORDER ENTRY IN MERCURY***

Using Mercury, a trader would first designate the desired comodity and quantities, then he can trade with single clicks of the right or left mouse button.

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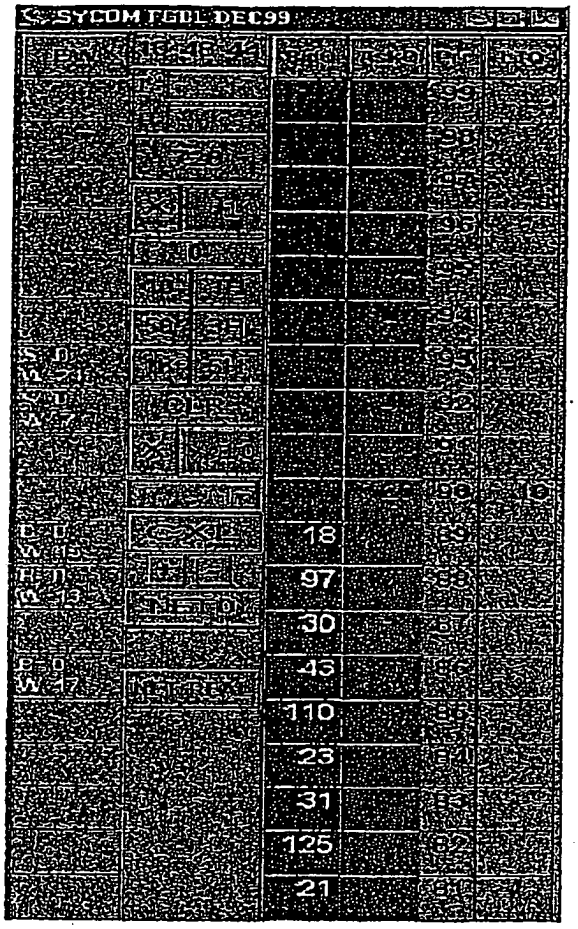

For example, using the above condensed screen shot, a left click on the 18 in the BidQ column will send an order to market to sell 17 (quantity # chosen on the Quantity Description pull down menu) lots of the commodity at a price of 89 (the corresponding price). A left click on the 20 in the AskQ column will send an order to market to buy 17 lots at a price of 90.

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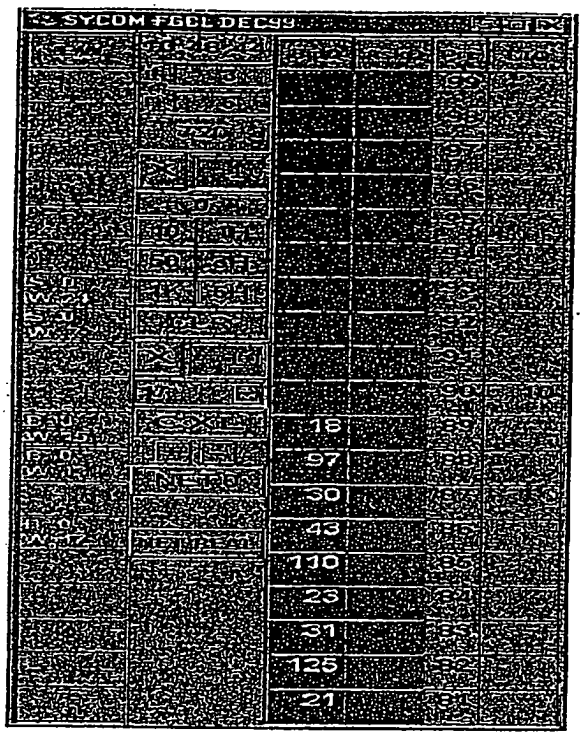
- *INNOVATION #16: SINGLE CLICK ORDER ENTRY WITH PRESET QUANTITIES AND VARIABLES OF QUANTITIES*



Orders can also be sent to market for quantities that vary according to the quantities in the market; quantity variables preset by the trader; and which mouse button the trader clicks. Using this feature, a trader can buy or sell all of the bids or asks in the market at or better than a chosen price with one click. The trader could also add or subtract a preset quantity from the quantities outstanding in the market.

If the trader clicks in a trading cell—i.e. in the BidQ or AskQ column, he will enter an order in the market. The parameters of the order depend on which mouse button he clicks and what preset values he set.

Using the right mouse button, an order would be sent to market at the price that corresponds to the row clicked for the total quantity of orders in the market that equal or better the chosen price plus the quantity in the R field. Thus, a right click in the AskQ column above in the 87 price row will send a sell order to market at a price of 87 and a quantity of 150. 150 is the sum of all the quantities 30, 97, 18 and 5. 30, 97 and 18 are all quantities in the market that would meet or better the trader's sell order price of 87. These quantities are displayed in the BidQ column because this column represents the

orders outstanding in the market to purchase the commodity at each corresponding price. The quanitity 5 is the quantity pre-set in the R field.

Similarly, a right click in the BidQ column at the same price of 87 would send a buy order to market for a quantity of 5. The quantity is determined in the same manner as above. In this example, though, there are no orders in the market that equal or better the chosen price—there are no quantities in the AskQ column that equal or better this price. So, the sum of the equal or better quantities is zero ("0"). The total order eneterd by the trader will be the value in the R field, which is 5.

An order entered with the left mouse button and the "Offset" option chosen in the quantity description field will be calculated in the same way as above, but he quantity in the L field will be added instead of the quantity in the R field. Thus, a left click in the BidQ column above in the 92 price row will send a sell order to market at a price of 92 and a quantity of 96. 96 is the sum of all the quantities 45, 28, 20 and 3. 45, 28 and 20 are all quantities in the market that would meet or better the trader's buy order price of 92. These quantities are displayed in the AskQ column because this column represents the orders outstanding in the market to sell the commodity at each corresponding price. The quanitity 3 is the quantity pre-set in the L field.

The values in the L or R fields may be negative numbers. This would effectively decrease the total quantity sent to market. In other words, in the example above, if the R field was –5, the total quantity sent to market would be 140 (30 + 97 + 18 + (-5)).

If a trader chose the "NetPos" option in the quantity description field, a right click would still work as explained above. A left click would enter an order with a price corresponding to the price row clicked and a quantity equal to the current Net position of the trader. The net position of the trader is the the trader's current position on the chosen contract. In other words, if the trader bought 10 more contracts than he sold, this value would be 10. NetPos would not affect the quanitity of an order sent with a right click.

If the trader chose a number value in the quantity description, a left click would send an order to market for the current quantity chosen by the trader. The default value of the current quantity will be the number entered in the quantity description field, but it could be changed by adjusting the figure in the current quantity field.

Equations for order entry with Mercury

Key:

P = Price value of row clicked
R = Value in R field
L = Value in L field
Q = Current Quantity
Q_a = Total of all quantities in AskQ column at an equal or better price than P
Q_b = Total of all quantities in BidQ column at an equal or better price than P

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N = Current Net Position
Bo = Buy order sent to market
So = Sell order sent to market

- **Any order entered using right mouse button**
  **All orders using the right mouse button will be limit orders.*

Bo = $(Q_a + R)P$

So = $(Q_b + R)P$

- **Orders entered using the left mouse button**

If "Offset" mode chosen in Quantity Description field then:
**In Offset mode, all orders using the left mouse button will be limit orders.*

Bo = $(Q_a + L)P$

So = $(Q_b + L)P$

If "number" mode chosen in Quantity Description field then:

Bo = QP

So = QP

If "NetPos" mode chosen in Quantity Description field then:
**In "NetPos" mode, all orders using the left mouse button will be limit orders.*

Bo = NP

So = NP

- ***INNOVATION #17: DELETING ALL ORDERS WORKING IN THE MARKET WITH A SINGLE CLICK***

Mercury also allows a trader to delete all of his working trades with a single click of either the right or left mouse button anywhere in the last traded quantity (LTQ) column. This allows a trader to exit the market immediately. Traders will use this feature when they are losing money and want to stop the losses from pilling up. Traders may also use this feature to quickly exit the market upon making a desired profit.

- *INNOVATION #18: DELETING ALL ORDERS WORKING IN THE MARKET AT A GIVEN PRICE LEVEL WITH A SINGLE CLICK*

Mercury also allows a trader to delete all of his orders from the market at a particular price level. A click with either mouse button in the Entered/Working (E/W) column will delete all working orders in the cell that was clicked. Thus, if a trader believes that a previously sent orders at a particular price that have not been filled would be poor trades, he can delete these orders with a single click.

- *INNOVATION #19: CENTERING THE INSIDE MARKET ON A SCREEN WITH A SINGLE CLICK*

As the market ascends or descends the price column, the inside market might go above or below the price column displayed on a trader's screen. Usually a trader will want to be able to se the inside market to assess future trades. Mercury solves this problem with a one click centering feature. With a single click at any point in the grey area below the "Net Real" button, Mercury will re-center the inside market on the trader's screen.

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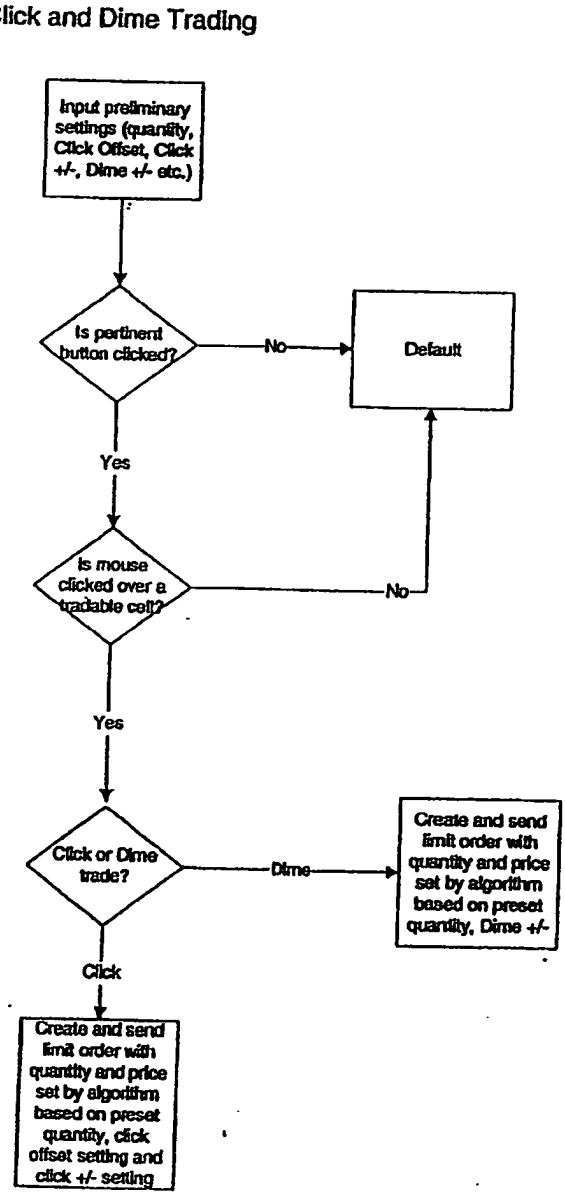
FLOW CHARTS OF THE PROCESSES:

Click and Dime Trading



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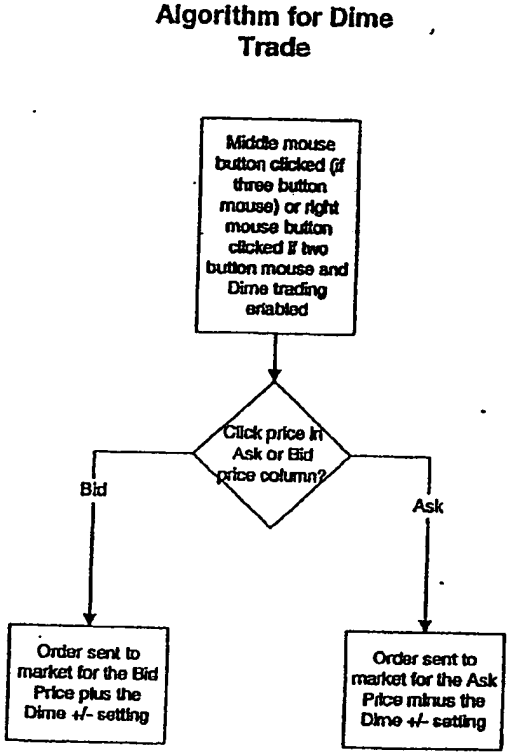
Flowchart of Dime Trade Algorithm



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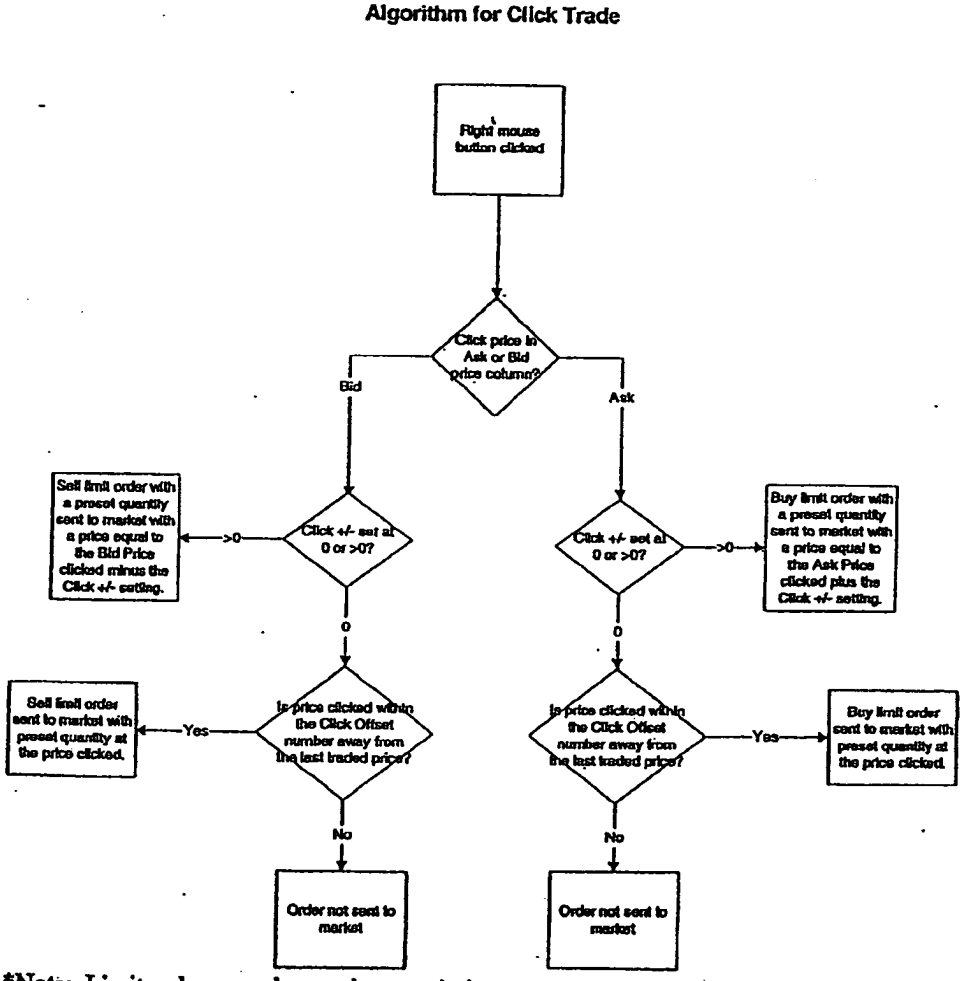
Flowchart for Algorithm for Click Trading



*Note: Limit orders may have other restrictions to them (like FOK, GTD, GTC etc.), which may further restrict these orders.

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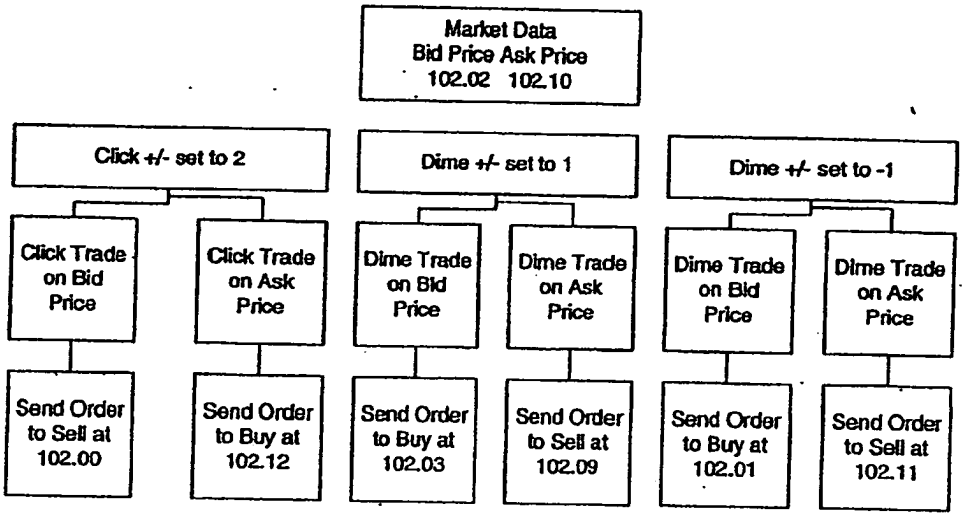
Example of Click and Dime trading:



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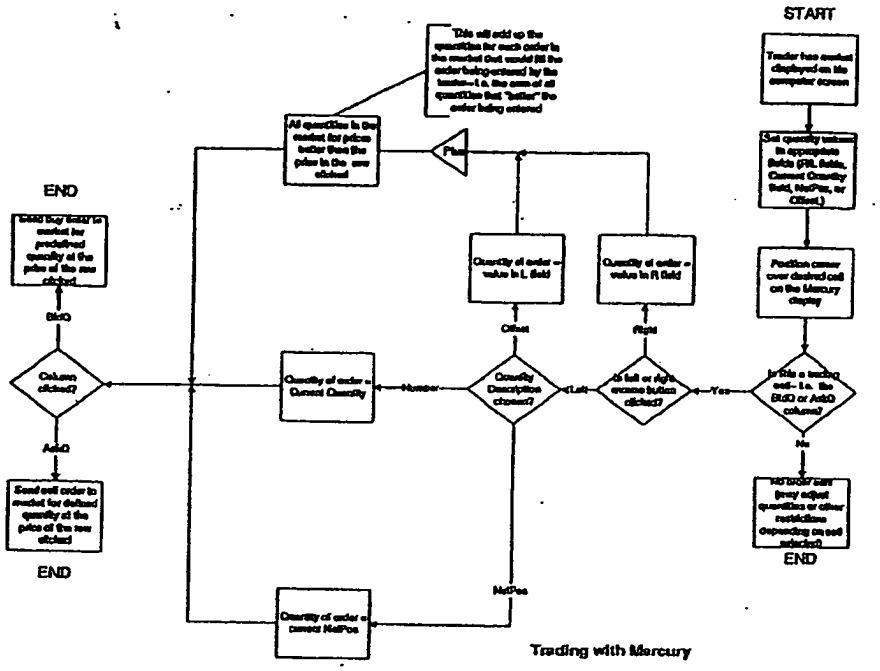
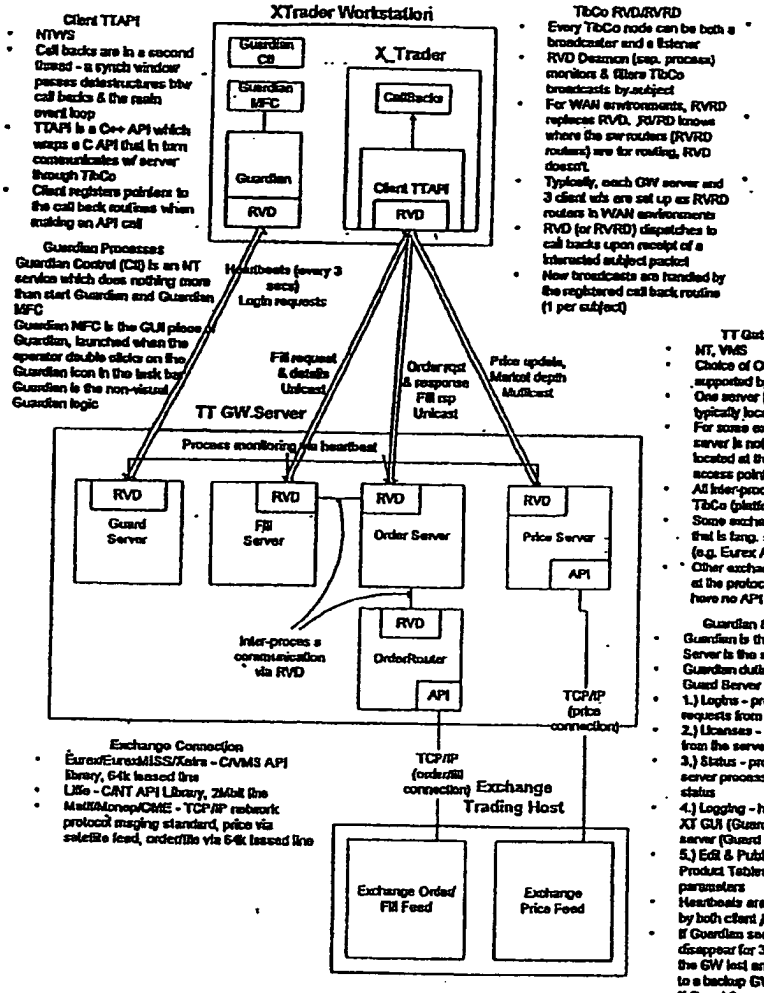
Mercury Display and Trading



X_Trader System Architecture at a Glance



Client TTAPI

- NT/W9
- Call backs are in a second thread - a synch window passes data/structures btw call backs & the main event loop
- TTAPI is a C++ API which wraps a C API that in turn communicates w/ server through TibCo
- Client registers pointers to the call back routines when making an API call

Guardian Processes

- Guardian Control (CSI) is an NT service which does nothing more than start Guardian and Guardian MFC
- Guardian MFC is the GUI piece of Guardian, launched when the operator double clicks on the Guardian icon in the task bar
- Guardian is the non-visual Guardian logic

TibCo RVD/RVRD

- Every TibCo node can be both a broadcaster and a listener
- RVD Daemon (sep. process) monitors & filters TibCo broadcasts by subject
- For WAN environments, RVRD replaces RVD. RVRD knows where the sw routers (RVRD routers) are for routing, RVD doesn't.
- Typically, each GW server and 3 client wks are set up as RVRD routers in WAN environments
- RVD (or RVRD) dispatches to call backs upon receipt of a interested subject packet
- Now broadcasts are handled by the registered call back routine (1 per subject)

Multicasts

- When user opens products from Market Explorer, client broadcasts this list of "interested" products to server.
- Server only broadcast prices for total list of interested products (for all clients)
- Client only listends for prices that the operator has opened in a trading window.

TT Gateway (GW) Server

- NT, VMS
- Choice of OS depends on the OS supported by the exchange's API library
- One server (gateway) per exchange, typically located at customer site
- For some exchanges (CME, Matif), the server is not located at client site. It is located at the exchange or other TT access point
- All inter-process comm. is done via TibCo (platform indep.)
- Some exchanges provide an API library that is lang. specific and OS specific (e.g. Eurex API is C for VMS)
- Other exchanges (Matif) communicate at the protocol level only (sockets) and have no API library (platform indep.)

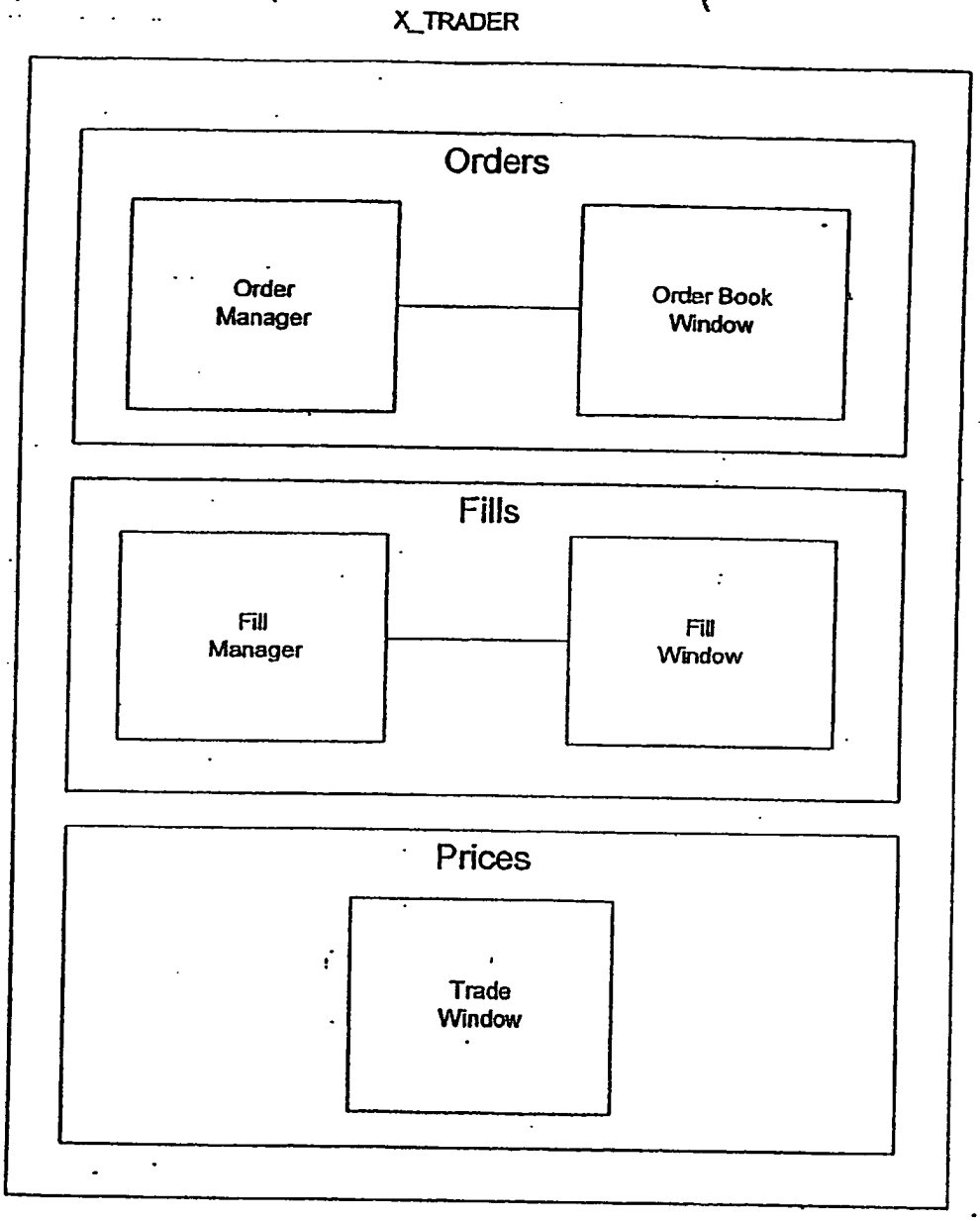
Guardian & Guard Server

- Guardian is the client piece, Guard Server is the server piece
- Guardian duties: Coordinate with Guard Server to do the following:
- 1.) Logins - processes all login requests from the client
- 2.) Licenses - obtain a client license from the server at login time
- 3.) Status - provide status on GW server process health & connection status
- 4.) Logging - handle error logging for XT GUI (Guardian) and the GW server (Guard Server)
- 5.) Edit & Publish - edit and publish Product Tables, Tick Tables, and risk parameters
- Heartbeats are sent out every 3 secs by both client & server.
- If Guardian sees server heartbeat disappear for 30 secs, it will consider the GW lost and attempt to connect to a backup GW (if so configured)
- If Guard Server sees the client heartbeat disappear for 30 secs, it will consider the client lost, close the connection, and return its license to the pool

Exchange Connection

- Eurex/EurexMISS/Xetra - C/VMS API library, 64k leased line
- Liffe - C/NT API Library, 2Mbit line
- Matif/Monep/CME - TCP/IP network protocol msging standard, price via satellite feed, order/fills via 64k leased line

41A


X_TRADER
Orders
Order Manager
Order Book Window
Fills
Fill Manager
Fill Window
Prices
Trade Window

APPENDIX C

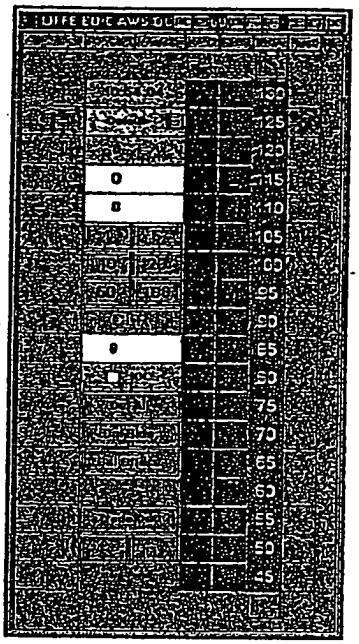
TRADING TECHNOLOGIES

X_TRADER USER GUIDE

VERSION 5.2.3

Market Depth Trader Window

Market Depth Trader Window Overview



The Market Depth Trader window allows the trader to use one click of the mouse to buy or sell products. The grid format dynamically displays the market depth for a given instrument, and enables the trader to enter orders quickly by simply clicking on specific cells in the grid layout.

The MD Trader window features include:

- MD TRADER window that allows buy or sell, one-click trading on any box in the grid layout.
- Unlimited number of open MD Trader windows (subject to the restriction that one window can only exist per series contract).
- Ability to change customer profiles from a list drawn from the Customer List dialog box.
- One-click centering of the MD Trader grid on the market.
- Color coding for text and background colors.
- Mouse wheel control of the zoom in/out feature.
- Mouse wheel control of order quantity.
- Sound notification for the action columns.

Market Depth Trader Options Dialog Box

You use the Market Depth Trader Options dialog box to set custom trading parameters and the appearance of the Market Depth Trader window. Once these have been created, they can be saved with the workspace.

The fields and checkboxes and their purpose are:

GUI Options:	
Show Tooltips	When checked the popup explanation of the title bar buttons appear.
Do Delete All when LTQ Column Clicked	When checked a full delete is allowed with a click in the Last Traded Quantity column.
Do Sweep on Right Click	When checked allows a complete sweep of market on right-click.
Show Delete Buttons	When checked shows all delete buttons in window
Show TradeOut Button	When checked shows Trade Out button in window.
Show Customer Account Combobox	When checked shows Customer List dropdown box.
Show IOC Checkbox	When checkedshows IOC checkbox in window
# digits for Working/Executed	Enter a quantity number for display of working/executed quantities.
# digits for Price Display	Enter a number for price precision display. Maximum number is 11.
Order Parameters	
Maximum Order Quantity	Enter a maximum order quantity permitted during trading.
Trade Out Method	
Using Limit Order	When checked indicates that the Trade Out method is LIMIT order. Also activates the "ticks to skew" box.
# of ticks to skew	Enter a number of ticks to skew in the trade out process.
Using MARKET Order	When checked (default) indicates that the Trade Out method is Market order.
OK	Click to indicate that all the parameters have been set.

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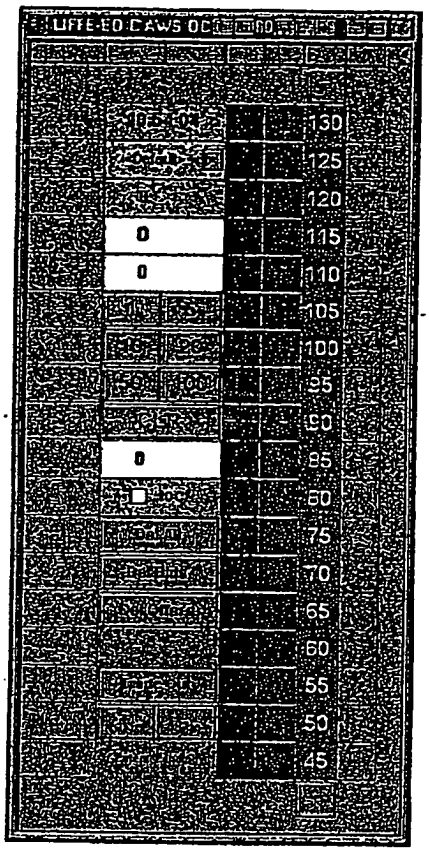
Market Depth Trader Window Field Descriptions



The Market Depth Trader window has the following fields (These are default settings, which can be rearranged to suit your needs or through the Market Depth Trader Options dialog box.) The columns are listed from left to right, and then down:

Working Quantity Column	Shows all working orders and executions. Functions as the Order Book for the MD window. When working quantities are matched by the exchange the displayed values will clear.
System Clock Indicator	Shows the current time (drawn from NT system clock). Can be hidden through the Options dialog box.
Customer List Dropdown Box	Shows the contents of the Customer List. Can be hidden through the Options dialog box.
Total Quantity Traded indicator	Indicates the total quantity of all trades.

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Net position Indicator	Indicates the net position.
Quantity for Order Indicator	Indicates the order quantity that will be sent to market.
1	Preset order quantity button (One)
10	Preset order quantity button (Ten)
50	Preset order quantity button (Fifty)
5	Preset order quantity button (Five)
20	Preset order quantity button (Twenty)
100	Preset order quantity button (One Hundred)
Clr	Clear button. Clears all trades from the market.
Default Quantity	Initially set to '0', then resets to reflect the first trade of the day.
Maximum Quantity	Maximum quantity that can be traded at any one time Can be set through the Options dialog box.
IOC Button	Immediate or Cancel button. Can be hidden through the Options dialog box.
Del All Button	Deletes all bids and offers from the market. Can be hidden through the Options dialog box.
Del Bids Button	Deletes all bids from the market. Can be hidden through the Options dialog box.
Del Offers Button	Deletes all offers from the market. Can be hidden through the Options dialog box.
Trade Out	Matches buy and sell order to equalize a net position. Orders are considered Immediate or Cancel. Can be set through the Options dialog box.
Buy Column	Indicates buy orders, color-coded to blue.
Sell Column	Indicates sell orders, color-coded to red.
Price Column	Indicates market price and depth.
Last Traded Quantity Column	Indicates the last traded quantity at that price.
Grid Movement Scrollbar	Indicates that there are orders above or below what is visible in the window. Use a mouse to scroll up or down the MD window.

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Opening the Market Depth Window

To open the Market Depth window:

1. Right click on a product name in the Market Grid window to bring up the Market Grid Context menu.
2. Click on Market Depth Trader.

Using MD Trader Functions

Selecting a Customer Profile in the MD Trader Window

To select a customer profile in the MD Trader window:

1. Click on the dropdown arrow in the Customer List box.
2. Select from the list and click to populate the box with the customer name.

Note: The client profile is one of any listed in the Customer List. This list is maintained and created through the Customer Default dialog box, available from the Settings menu of the X_TRADER Control Panel.

Setting the Maximum Trade Quantity in the MD Trader Window

Although it is not a requirement for trading, you can set up the MD Trader window with a maximum trade quantity. If entered, this quantity will prevent the user from entering any order that is larger. For example,if the maximum trade quantity were set to '50', attempting to sweep the market with an order quantity of '300' would not be permitted. Instead, the order would be entered as a 50 lot.

To set the optional maximum trade quantity:

1. Left click in the Maximum Trade Quantity box.
2. Enter the maximum trade quantity.

The maximum quantity for any lot will now be enforced for the entered quantity.

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Setting the Trade Quantity in the Market Depth Window

The order quantity is set by the user in the Quantity field. Once an initial order has been sent to the market at the start of trading, this quantity also populates the Default Quantity field. From that point forward, the quantity field will continually reset itself to the default quantity after each trade. This field can, of course, be manually edited.

Note: The size of the order is limited by the order quantity restriction that may have been set in the maximum quantity field. See Setting the Maximum Trade Quantity in the MD Trader Window

Resizing the Grid in the MD Trader Window

To resize the grid—that is, view more grid rows—in the MD Trader window:

Use the X_TRADER Frame Command Button Bar.

Or

Use the mouse to pull down on the bottom or top frame of the MD Trader window. Pulling down on the bottom of the frame will display more rows at the bottom of the grid. Pulling up on the top of the frame will add more rows to the bottom of the window.

Using Drag and Drop to move Grid Columns

You can use the mouse to drag-and-drop the columns in the MD Trader window to a different location in the grid.

To drag and drop columns to different location in the MD Trader Grid:

1. Left click at the top of the column and hold down the mouse button. A box outline will appear beneath the mouse pointer.
2. Move the column left or right to the desired position. A red line will indicate where the column is moving.
3. Release the mouse button.

The column will remain in its new location.

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Text and Grid Colors in the MD Window

Many of the grids, text boxes, and indicators in the MD Trader window are color coded to give you a visual indication of market position and other information. The grid below gives a summary of the default colors associated with columns in the MD Trader window:

Column or Text Box	Associated Colors
Working Quantity Column	Foreground color: Gray
	Working Sell Text: Red Font
	Working Buy: Blue Font
	Executed Sell: Blue Font
	Executed Buy: Red Font
Net Position Box	Background color: Red or Green, depending on position
	Short Position: Red Font
	Long Position: Green Font
Bid Column	Foreground color: Blue
	Font Color: White
Sell Column	Foreground color: Red
	Font Color: Black
Last Traded Quantity Column	Foreground color: Gray
	Offer Lifted: Red Font
	Bid Hit: Blue Font

Note: These color combinations are the default colors for the MD Trader. You can alter and change them from within the MD Trader window.

Changing the Grid and Font Colors in the MD Trader Window

▶ To change the default grid and associated font colors in the MD Trader window:

1. Use your mouse to position the cursor directly below the MD Trader window title bar and within the small bow that heads the column whose colors you want to change.
2. The cursor will change to a downward pointing arrow. Click once to change the default foreground and font colors.
3. To change back to the default colors, click once in any other column.

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Using the Mouse to Center the Market

You can use the mouse to 'center the market' by clicking anywhere within the MD Trader window. This will automatically shift the grid to show the center of the market. The default position is the mid-point of the current bid or ask. However:

- If there is no bid, it will center on the ask price;
- If there is no ask price, it will center on the bid price;
- And, if there is no market, it will center on the last traded quantity.

Using the Mouse Wheel to Control Order Quantity

Most users will use the keyboard to enter order quantity amounts in the quantity text box. However, you can also use the mouse wheel to increase order quantity.

To use the mouse wheel to increase or decrease order quantity:

1. Hold down the Shift key on the keyboard.
2. Move the mouse wheel to increase or decrease the order quantity.

Note: Using the mouse wheel to increase or decrease order quantity is subject to two constraints:

- You cannot increase the order quantity above the preset figure in the maximum trade quantity field (if any).
- Increase or decreases in the order quantity field will be in increments of ten orders.

Using the Mouse Wheel to Control the Zoom Feature

To zoom the view in or out using the mouse wheel:

1. Hold down the Ctrl key on the keyboard.
2. Depress and use the mouse wheel to zoom the MD Trader window in or out.

Releasing the Ctrl key will freeze the view in its last position.

Deleting Trades from the Market

A left or right click on any grid cell in the Last Traded Quantity column performs a 'sweeping' delete of all working bids and offers in the market. This has the same effect as clicking on the Delete All button in the MD Trader window.

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Click Trading in the MD Trader Window

MD Trader Click Trading Overview

The function of the Market Depth Trader window is to allow one-click trading for the product that populates the MD Trader window. This trading method is used as an alternative to the click trading technique that is also available in X_TRADER. It is strongly recommended that you practice the procedures mentioned below in a simulation environment before actually using these them in a live market.

To use the click-trading feature in the MD Trader window, the following steps should be followed:

- Open a Market Depth window
- Select a customer
- Add a trading quantity
- Use the click-trading facility to trade

Left and Right Click Trading in the MD Trader Window

The function of the Market Depth Trader window is to offer a trader the ability to one-click trade across the depth of a market for either a buy or sell order. The window presents the market's price and order information in a grid structure, which makes it easy to use the mouse buttons to single click in and out of a trade.

Once the quantity has been set for an order, you use the left or right mouse button to perform various trades. The discussion below describes the distinctions between left and right clicking on grid cells.

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Left Click in the Buy or Ask Columns:

A left click in a grid cell in the buy or ask columns will immediately send a buy or sell order to the market. The quantity for the order is taken from the quantity field. The price is taken from the same row as the grid cell that is clicked. If you left click on a grid cell in the:

Column	Position	Result
Buy	Next to populated grid cell in the Sell column:	Send a buy order to the market (lifting the bid).
Sell	Next to populated grid cell in the Buy column:	Send a sell order to the market (hitting the bid).

Column	Position	Market Result
Buy	In a grid cell that is populated by a bid quantity:	Sends a buy order to the market (you are joining the bid).
Sell	In a grid cell that is populated by an offer quantity:	Sends a sell order to the market (you are joining the offer).

Right Click in the Buy or Ask Columns:

A right click in a grid cell in the buy or ask columns will immediately send a 'sweeping' buy or sell order to the market. The price is taken from the same row as the grid cell that is clicked. If you right click on a grid cell in the:

Column	Position	Market Result
Buy	Directly to the left of populated grid cell in the Sell column:	Sends in a buy for as many contracts as exist from the best ask price up to that price level.
Sell	Directly to the right of a populated grid cell in the Buy column:	Sends in a sell for as many contracts as exist from the best bid price up to that price level.

A right-click on a grid cell that is populated with either a bid or offer will result in no orders being sent to market.

Note: The size of the order is limited by the order quantity restriction that may have been set in the maximum quantity field. See Setting the Maximum Trade Quantity in the MD Trader Window

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Mouse Click Operation in the Working Quantity Column

A left or right click on any grid cell in the working quantity column deletes the working quantity of all orders at that price level. If the working quantity is for 50 orders, for example, in five separate 10-lot orders, all five orders will be deleted. If there is only a single 50-lot order, than this single order is deleted.

Adding Sound to the MD Trader Click Actions

If your desktop machine is equipped with a sound card and speakers, you can set T_TRADER to make sounds corresponding to a left or right click. These sounds can only be heard when you click on the action columns:

- Buy Side
- Sell Side
- Working Quantity
- Last Traded Quantity

These sounds are associated from the Properties menu of the X_TRADER Control panel, as are all the action sounds with the application.

TT0101884

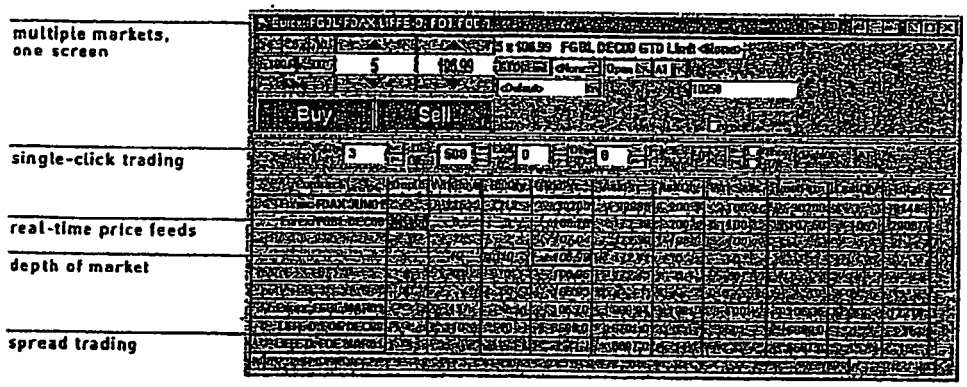
APPENDIX D

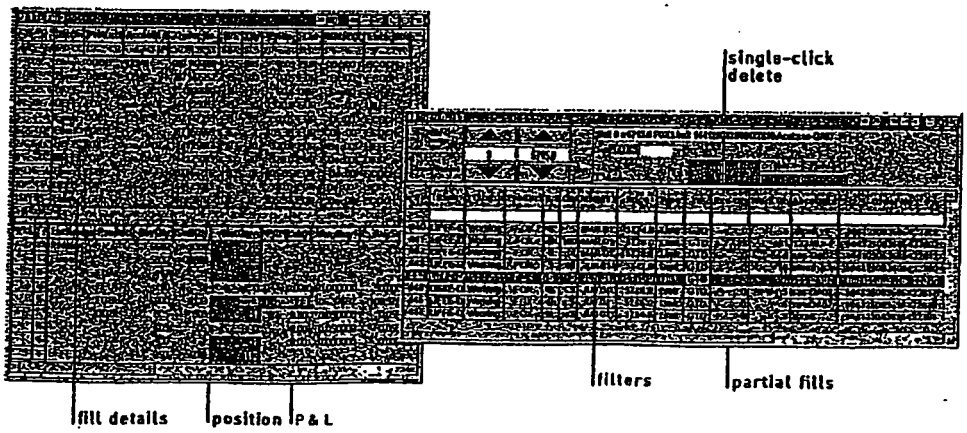
X_TRADER® is an ultra-fast, flexible trading screen for stock, bond, futures and options trading.

TRADING TECHNOLOGIES

X_TRADER®

- High speed connection to the world's markets
- Used globally by professional traders, brokers and market makers
- Fully customizable trading interface
- Real-time fill and position details with easy access, dynamic audit trail
- Flexible order book
- Comprehensive pre- and post- trade credit/risk management





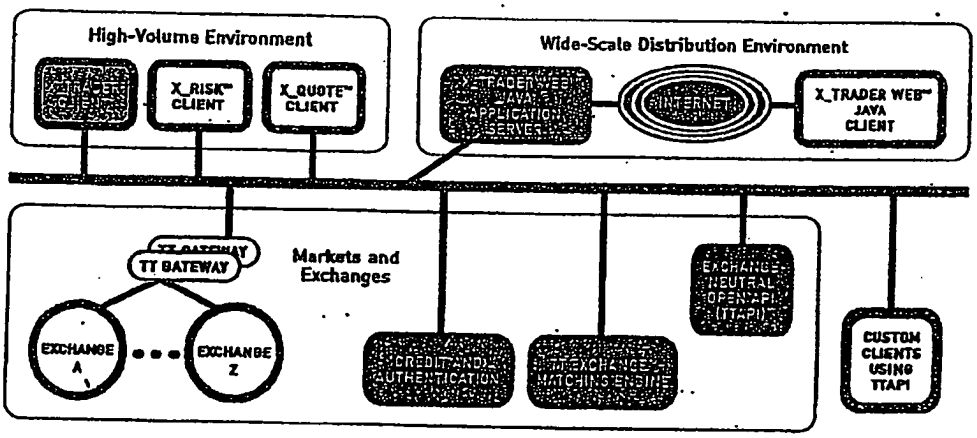
TRADING TECHNOLOGIES™

X_TRADER®

Hardware Requirements

- 450MHz or higher recommended, Intel 350MHz minimum
- Windows NT Workstation 4.0, Service Packs 4 (w/ y2k patches), 5, or 6a (SP 6 is definitely not recommended)
- 128 MB RAM recommended, 64MB RAM minimum
- 1GB of available hard disk space for software and log files (EIDE sufficient, Ultra-wide SCSI or ultra-wide SCSI II recommended)
- Hard disks formatted using NTFS (file system)
- 10/100Mb auto-switching network interface card
- CD-ROM and 1.44 MB floppy drives
- 16bit, 64k graphics card recommended (lower end graphics cards work, but some color schemes may not be available)
- 3-button mouse to support middle button click trading with Microsoft Intellimouse (Intellipoint) software removed. A two-button mouse is supported, but Click and Dime trading are mutually exclusive.
- Tibco (included with TT software)

TT Product Suite



For additional information, please contact one of the following sales offices:

One World Trade Center 86th Floor New York, NY 10048 USA	100 South Wacker Drive Suite 1824 Chicago, IL 60606 USA	1603 Orrington Avenue Suite 1300 Evanston, IL 60201 USA	UK Ltd. 36 Poultry London EC2R 8AJ	Bockenheimer Landstrasse 39 60325 Frankfurt Germany
Phone +1.212.313.5300	Phone +1.312.372.3397	Phone +1.847.424.8844	Phone +44.20.7600.2121	Phone +49.69.138.726.0

Interview Summary	Application No. 09/590,692	Applicant(s) KEMP ET AL	
	Examiner Richard C Weisberger	Art Unit 3624	

All participants (applicant, applicant's representative, PTO personnel):

(1) *Richard C Weisberger*. (3) *Steve Borsand*.

(2) *Ankur Shah*. (4) *Monika Dudek/ Matt Sampson*.

Date of Interview: *13 March 2003* .

Type: a)☐ Telephonic b)☐ Video Conference
c)☒ Personal [copy given to: 1)☒ applicant 2)☐ applicant's representative]

Exhibit shown or demonstration conducted: d)☐ Yes e)☐ No.
If Yes, brief description: _____ .

Claim(s) discussed: *1* .

Identification of prior art discussed: *WO 00/52619, W0 01/16852, W0 00/62187, US 0138401* .

Agreement with respect to the claims f)☐ was reached. g)☐ was not reached. h)☒ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: *The prior art cited above was discussed, including elements of the disclosures relating to price displays and point and click technologies. A follow up telephone interview was scheduled for next week. At which time it will be determined if one or more of the references will be used to establish a prima facie office action.* .

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i)☑ It is not necessary for applicant to provide a separate record of the substance of the interview(if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required

Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record
A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews
Paragraph (b)
In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.
All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:
- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case unless both applicant and examiner agree that the examiner will record same. Where the examiner agrees to record the substance of the interview, or when it is adequately recorded on the Form or in an attachment to the Form, the examiner should check the appropriate box at the bottom of the Form which informs the applicant that the submission of a separate record of the substance of the interview as a supplement to the Form is not required.

It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:
1) A brief description of the nature of any exhibit shown or any demonstration conducted,
2) an identification of the claims discussed,
3) an identification of the specific prior art discussed,
4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
5) a brief identification of the general thrust of the principal arguments presented to the examiner,
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
6) a general indication of any other pertinent matters discussed, and
7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

TT0101888

Atty. Dkt. No. 024051-0135

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Allan KEMP II et al.

Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH

Patent No.: 6,772,132

Issue Date: 8/3/2004

Examiner: R. Weisberger

Art Unit: 3624

REQUEST FOR CERTIFICATE OF CORRECTION FOR PTO MISTAKE PURSUANT TO 37 C.F.R. § 1.322(a)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed, in duplicate, is a Certificate of Correction, Form PTO/SB/44, for United States Patent Number 6,772,132 issued August 3, 2004. The following Patent Office printing errors appear in the issued patent:

ON THE TITLE PAGE

OTHER PUBLICATIONS - After the last entry, please insert --Patsystems News Release, PATSYSTEMS LAUNCHES J TRADER, November 06, 2001--.

This publication was listed on the Form PTO-892 which was forwarded from the PTO as part of the Notice of Allowability (paper no. 28) mailed February 10, 2004. A copy of the Form PTO-892 is attached for your review.

Atty. Dkt. No. 024051-0135

IN THE SPECIFICATION

Column 9, line 65, delete "sell" and insert --buy--;

Column 10, line 2, delete "buy" and insert --sell--.

These changes were made in the amendment filed on March 21, 2003, a copy of which has been attached for your review.

Applicant submits that the above changes would not constitute new matter, and correction thereof would not require reexamination.

Pursuant to 37 C.F.R. §1.322, Applicant requests that the enclosed Certificate of Correction be approved.

Although Applicant believes that no fee is required for this Request, the Commissioner is hereby authorized to charge any additional fees which may be required for this Request to Deposit Account No. 19-0741.

Respectfully submitted,

Date OCTOBER 4, 2004

By Reg No 41514

FOLEY & LARDNER LLP
Customer Number: 22428
Telephone: (202) 672-5485
Facsimile: (202) 672-5399

William T. Ellis
Attorney for Applicant
Registration No. 26,874

MODIFIED PTO/SB/44 (02-01)
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UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO : 6,772,132

DATED : 8/3/2004

INVENTOR(S) : Gary Allan Kemp II; Jens-Uwe Schluetter; Harris Brumfield

It is certified that errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

ON THE COVER PAGE

OTHER PUBLICATIONS - After the last entry, insert --Patsystems News Release, PATSYSTEMS LAUNCHES J TRADER, November 06, 2001--.

IN THE SPECIFICATION

Column 9, line 65, delete "sell" and insert --buy--.

Column 10, line 2, delete "buy" and insert --sell--.

MAILING ADDRESS OF SENDER: Customer Number: 22428
William T. Ellis
Foley & Lardner LLP
3000 K Street NW
Suite 500
Washington, DC 20007-6143

PATENT NO. 6,772,132

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3000 K Street NW
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Washington, DC 20007-5143

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PATENT NO. 6,772,132

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SHEET 1 of 1

FORM PTO 1449 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary) Date Submitted to PTO: September 7, 2001	ATTY DOCKET NO. 024051/0155 APPLICANT: Gary Alan KEMP II, et al. FILING DATE: June 27, 2001	SERIAL NO. 09/894,637 GROUP: Unassigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	4,674,044	06/16/87	KALMUS et al.	364	408	
	A2	4,750,135	06/07/88	BOILEN	364	514	
	A3	5,270,922	12/14/93	HIGGINS	364	408	
	A4	5,297,032	03/22/94	TROJAN et al.	364	408	Duplicate
	A5	5,924,083	07/13/99	SILVERMAN et al.	705	37	
	A6	6,014,643	01/11/00	MINTON	705	37	
	A7	5,077,665	12/31/91	SILVERMAN et al.	364	408	
	A8	5,136,501	08/08/92	SILVERMAN et al.	364	408	
	A9	5,963,923	10/05/99	GARBER	705	37	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	A10	www.tradingtechnologies.com/products/xtrade_full.html (viewed 5/22/2001) < 6/9/2000
	A11	Khurouf, A trading room with a view, Futures, 27, 11 – 11/1998

EXAMINER [signature] DATE CONSIDERED 7/04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

PAGE 2/7 * RCVD AT 3/4/2004 2:38:21 PM [Eastern Standard Time] * SVR:USPTO-EFXRF-4/0 * DNIS:8729025 * CSID: * DURATION (mm-ss):02-58

PTO/SB/08 (08-00)
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Date Submitted: September 20, 2002

(use as many sheets as necessary)

Sheet 1 of 1

Complete If Known	
Application Number	09/894,837
Filing Date	June 27, 2001
First Named Inventor	Gary Allan Kemp II et al.
Group Art Unit	3624
Examiner Name	R. Weisberger
Attorney Docket Number	024051/0155

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	U.S. Patent Document Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	5,038,284		KRAMER	08/08/1991	
	A2	5,297,031		GUTTERMAN et al.	03/22/1994	
	A3	5,689,861		LOZMAN	11/18/1997	
	A4	6,774,877		PATTERSON, JR. et al.	06/30/1998	
	A5	5,793,301		PATTERSON, JR. et al.	08/11/1998	
	A6	5,797,002		PATTERSON, JR. et al.	08/18/1998	
	A7	5,845,266		LUPIEN et al.	12/01/1998	
	A8	6,916,245		PATTERSON, JR. et al.	06/22/1999	
	A9	5,924,082		SILVERMAN et al.	07/13/1999	
	A10	6,012,046		LUPIEN et al.	01/04/2000	
	A11	6,014,643		MINTON	01/11/2000	
	A12	6,098,051		LUPIEN et al.	08/01/2000	
	A13	6,131,087		LUKE et al.	10/10/2000	
	A14	6,134,535		BELZBERG	10/17/2000	
	A15	6,195,647		MARTYN et al.	02/27/2001	
	A16	6,272,474		GARCIA	08/07/2001	
	A17	6,278,982		KORHAMMER et al.	08/21/2001	
	A18	6,282,521		HOWORKA	08/28/2001	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (if known)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	A19	WO	99/30259		NIPPON STEEL CORPORATION	06/17/1999		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[6]
	A20	USPTO Presentation, NASDAQ, November 8, 2001, enclosed pages 1-13.	

Examiner Signature		Date Considered	7/16

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[1] Unique citation designation number. [2] See attached Kinds of U.S. Patent Documents. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	09/894,537
Date Submitted: November 14, 2002				Filing Date	June 27, 2001
				First Named Inventor	Gary Allan Kemp II
(use as many sheets as necessary)				Group Art Unit	3624
				Examiner Name	Weisberger, R.
Sheet	1	of	1	Attorney Docket Number	024051-0155

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	U.S. Patent Document Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	2002/0023038		FRITSCH et al.	02/21/2002	
	A2	6,408,282		BURST	06/18/2002	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (if known)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	A3		WO 00/52619		PCT	09/08/2000		
	A4		WO 00/62167		PCT	10/19/2000		
	A5		WO 01/16852		PCT	03/08/2001		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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Examiner Signature		Date Considered	3-04

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1 Unique citation designation number. 2See attached Kinds of U.S. Patent Documents. 3Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	09/894,637
				Filing Date	June 27, 2001
Date Submitted: December 18, 2002				First Named Inventor	Gary Allan Kerup II
(use as many sheets as necessary)				Group Art Unit	3624
				Examiner Name	Weisberger, R.
Sheet	1	of	1	Attorney Docket Number	024051-0155

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	U.S. Patent Document Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/R.W./	A1	2002/0055899		WILLIAMS	05/09/2002	

FOREIGN PATENT DOCUMENTS

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Examiner Signature	/R.W./	Date Considered	3/04

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Substitute for form 1449B/PTO	Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Application Number	09/894,637
	Filing Date	June 27, 2001
Date Submitted: February 11, 2003	First Named Inventor	Gary Allan Kemp II
	Group Art Unit	3624
(use as many sheets as necessary)	Examiner Name	Weisberger, R.
Sheet 1 of 1	Attorney Docket Number	024051-0155

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	U.S. Patent Document Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	5,297,032		TROJAN et al.	03/22/1994	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (if known)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	A2		WO 00/65510		PCT	11/02/2000		
	A3		WO 01/16830		PCT	03/08/2001		
	A4		WO 01/16852		PCT	03/08/2001		
	A5		WO 01/22315		PCT	03/29/2001		
	A6		WO 01/88808		PCT	11/22/2001		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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Examiner Signature		Date Considered	3/21

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Substitute for form 1449/PTO	Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	Application Number	09/894,837
	Filing Date	June 27, 2001
Date Submitted: November 12, 2003	First Named Inventor	Gary Allan Kemp II
(use as many sheets as necessary)	Group Art Unit	3624
	Examiner Name	Weisberger, R.
Sheet 1 of 1	Attorney Docket Number	024051-0155

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Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (if known)	Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	A1	PCT	WO 98/49639			11/05/1998		
	A2	PCT	WO 99/18821			04/22/1999		
	A3	PCT	WO 99/53424			10/21/1999		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[6]

Examiner Signature		Date Considered	3/17

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[1] Unique citation designation number. [2] See attached Kinds of U.S. Patent Documents. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

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Atty. Dkt. No. 024051-0155

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan KEMP II et al.

Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH

Appl. No.: 09/894,637

Filing Date: 06/27/2001

Examiner: R. Weisberger

Art Unit: 3624

TERMINAL DISCLAIMER

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Your Petitioner, Trading Technologies Inc., having its principal place of business at 222 S. Riverside Plaza, Suite 1100, Chicago, IL 60201, hereinafter represents that it is the owner of the entire right, title, and interest in and to U.S. Patent Application Serial No. 09/894,637, filed 06/27/2001, which is a continuation of U.S. Patent Application No. 09/590,692, filed 06/09/2000, by virtue of an Assignment filed and recorded on October 2, 2000, on Reel/Frame 011188/0355, in the United States Patent and Trademark Office, a copy of which is attached hereto as APPENDIX A. Further, your Petitioner represents that it is the owner of U.S. Patent Application No. 09/590,692, filed June 9, 2000, by virtue of an Assignment filed and recorded on October 2, 2000, on Reel/Frame 011188/0355, in the United States Patent and Trademark Office, a copy of which is attached hereto as APPENDIX B.

Your Petitioner, Trading Technologies, Inc., hereby disclaims the terminal part of the term of any patent granted on U.S. Patent Application 09/894,637 which would extend beyond the full statutory term, as shortened by any terminal disclaimer, of any patent granted

XXXXXXXXXXA

on U.S. Patent Application 09/590,692, and hereby agrees that any patent so granted on U.S. Patent Application 09/894,637 shall be enforceable only for and during such period that the legal title to any patent granted on U.S. Patent Application 09/590,692 shall be the same as the legal title to any patent granted on U.S. Patent Application 09/894,637, this agreement to run with any patent granted on U.S. Patent Application 09/894,637 and to be binding upon the grantee, its successors or assigns.

In making the above disclaimer, Petitioner does not disclaim any terminal part of any patent granted on U.S. Patent Application 09/894,637, prior to the full statutory term of any patent granted on U.S. Patent Application 09/590,692 as defined in 35 U.S.C. §§154-156 and 173, in the event that any patent granted on U.S. Patent Application 09/590,692 expires for failure to pay a maintenance fee, is held unenforceable or is found invalid in a final judgment by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR §1.321(a), has all claims canceled by a reexamination certificate or as a result of an interference proceeding, or is otherwise not deemed to provide the rights conveyed by 35 USC §154, prior to the full statutory term of any patent granted on U.S. Patent Application 09/590,692 as defined in 35 USC §§154-156 and 173, except for the separation of legal title stated above. Further, Petitioner does not disclaim any terminal part of a patent granted on U.S. Patent Application 09/894,637 that would extend beyond the present termination of any patent granted on U.S. Patent Application 09/590,692, in the event that such present term is extended by virtue of compliance with the conditions for term extension of any present or future patent term extension provisions of the patent law, including but not limited to 35 U.S.C. §§155, 155A or 156, and without waiving Petitioner's right to extend the term of a patent granted on U.S. Patent Application 09/894,637 to the extent provided by law.

The undersigned, being the Attorney of Record for U.S. Patent Application 09/894,637, and duly authorized to act on behalf of Petitioner, certifies that he has reviewed the Assignments attached as APPENDICES A and B, and to the best of his knowledge and belief, legal title to U.S. Patent Application 09/894,637 and any patent granted on U.S. Patent Application 09/590,692 rests with Petitioner, Trading Technologies Inc. The undersigned declares that all statements made herein of their own knowledge are true and that all statements

made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the above-identified application or any patent issuing therefrom.

Respectfully submitted,

Date: October 20, 2003

By Reg No 41514

FOLEY & LARDNER
Washington Harbour
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Washington, D.C. 20007-5143
Telephone: (202) 672-5485
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William T. Ellis
Attorney for Applicant
Registration No. 26,874

APPENDIX A

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Washington, D.C. 20231

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DECEMBER 27, 2000

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WASHINGTON HARBOUR
3000 K STREET NW, SUITE 500
WASHINGTON, DC 20007-5109

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/02/2000

REEL/FRAME: 011188/0355
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
KEMP, GARY ALLAN, II

DOC DATE: 08/24/2000

ASSIGNOR:
SCHLUETTER, JENS-UWE

DOC DATE: 08/25/2000

ASSIGNOR:
BRUMFIELD, HARRIS

DOC DATE: 08/19/2000

ASSIGNEE:
TRADING TECHNOLOGIES
INTERNATIONAL, INC.
1603 ORRINGTON AVENUE, SUITE 1300
EVANSTON, ILLINOIS 60201

SERIAL NUMBER: 09590692
PATENT NUMBER:

FILING DATE: 06/09/2000
ISSUE DATE:

011188/0355 PAGE 2

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Atty. Dkt. No. 024051/0135

ASSIGNMENT AND AGREEMENT

WHEREAS, Gary Allan Kemp II of 335 Fairview Avenue, Winnetka, IL 60093, and Jens-Uwe Schluetter of 2320 Grey, Evanston, IL 60201 Harris Brumfield of 1840 Cleveland, Chicago, IL 60614, (hereinafter referred to singly and collectively as "ASSIGNOR") have invented a certain invention entitled **CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF MARKET DEPTH** (Atty. Dkt. No. 024051/0135) for which an application for United States Letters Patent was filed on June 9, 2000 as Application No. 09/590692; and

WHEREAS, Trading Technologies International, Inc., a corporation duly organized and existing under the laws of the State of Illinois, and having its principal place of business at 1603 Orrington Avenue, Suite 1300, Evanston, IL 60201 (hereinafter referred to as "ASSIGNEE") is desirous of acquiring the entire interest therein;

NOW THEREFORE, in consideration of One Dollar ($1.00) and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, ASSIGNOR has sold, assigned, and transferred, and by these presents hereby sells, assigns, and transfers, unto ASSIGNEE, its successors and assigns, the full and exclusive right, title, and interest in and to (a) the above-identified invention or inventions and all improvements and modifications thereof, (b) the above-identified application and all other applications for Letters Patent of the United States and countries foreign thereto for the above-identified invention or inventions and all improvements and modifications thereof, (c) all Letters Patent which may issue from said applications in the United States and countries foreign thereto, (d) all divisions, continuations, reissues, and extensions of said applications and Letters Patent, and (e) the right to claim for any of said applications the full benefits and priority rights under the International Convention and any other international agreement to which the United States adheres; such right, title, and interest to be held and enjoyed by ASSIGNEE, its successors and assigns, to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

ASSIGNOR HEREBY AUTHORIZES AND REQUESTS the Commissioner of Patents and Trademarks to issue said Letters Patent to ASSIGNEE as assignee of the entire interest, for the sole use and benefit of ASSIGNEE, its successors and assigns.

ASSIGNOR HEREBY AGREES (a) to communicate to ASSIGNEE, its successors and assigns, or their representatives or agents, all facts and information known or available to ASSIGNOR respecting said invention or inventions, improvements, and modifications including evidence for interference, reexamination, reissue, opposition, revocation, extension, or infringement purposes or other legal, judicial, or administrative proceedings, whenever requested by ASSIGNEE; (b) to testify in person or by affidavit as required by ASSIGNEE, its successors and assigns, in any such proceeding in the United States or a country foreign thereto; (c) to execute and deliver, upon request by ASSIGNEE, all lawful papers including, but not limited to, original, divisional, continuation, and reissue applications, renewals, assignments, powers of attorney, oaths, affidavits, declarations, depositions; and (d) to provide all reasonable assistance to ASSIGNEE, its successors and assigns, in obtaining and enforcing proper title in and

Atty. Dkt. No. 024051/0135

protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

ASSIGNOR HEREBY REPRESENTS AND WARRANTS that ASSIGNOR has the full and unencumbered right to sell, assign, and transfer the interests sold, assigned, and transferred herein, and that ASSIGNOR has not executed and will not execute any document or instrument in conflict herewith.

ASSIGNOR HEREBY GRANTS to the law firm of Foley & Lardner the power and authority to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

ASSIGNOR UNDERSTANDS AND AGREES that the attorneys and agents of the law firm of Foley & Lardner do not personally represent ASSIGNOR or ASSIGNOR's legal interests, but instead represent the interests of ASSIGNEE; since said attorneys and agents cannot provide legal advice to ASSIGNOR with respect to this Assignment, ASSIGNOR acknowledges its right to seek its own independent legal counsel.

Executed this 24th day of August, 2000.

Gary Allan Kemp II

State of Illinois)
) ss.
County of Cook)

On this 24th day of August, 2000, before me, a notary public in and for said county, appeared Gary Allan Kemp II, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

"OFFICIAL SEAL"
TINA M. YAROVSKY
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 4/2/2002

(Seal)

Notary Public

My Commission Expires: 4/2/2002

"OFFICIAL SEAL"
TINA M. YAROVSKY
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 4/2/2002

Atty. Dkt. No. 024051/0135

Executed this 25 day of August, 2000.

Jens-Uwe Schluetter

State of Illinois)
County of Cook) ss.

On this 25th day of August, 2000, before me, a notary public in and for said county, appeared Jens-Uwe Schluetter, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

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(Seal)

Notary Public

My Commission Expires: 4/2/2002

Executed this 19 day of Sept, 2000

Harris Brumfield

State of IL)
County of Cook) ss.

On this 19 day of Sept, 2000 before me, a notary public in and for said county, appeared Harris Brumfield, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

Notary Public

(Seal)

My Commission Expires: 6/27/01

OFFICIAL SEAL
GAYLE A HALLEN
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES:06/27/01

TT0101907

APPENDIX B

WTE

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

24051/135

DECEMBER 27, 2000

PTAS

101501820A

POLEY & LARDNER
WILLIAM T. ELLIS
WASHINGTON HARBOUR
3000 K STREET NW, SUITE 500
WASHINGTON, DC 20007-5109

UNITED STATES PATENT AND TRADEMARK OFFICE
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DOC DATE: 08/25/2000

ASSIGNOR:
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DOC DATE: 08/19/2000

ASSIGNEE:
TRADING TECHNOLOGIES
INTERNATIONAL, INC.
1603 ORRINGTON AVENUE, SUITE 1300
EVANSTON, ILLINOIS 60201

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011188/0355 PAGE 2

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Atty. Dkt. No. 024051/0135

protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

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Executed this 24th day of August, 2000.

Gary Allan Kemp II

State of Illinois)
) ss.
County of Cook)

On this 24th day of August, 2000, before me, a notary public in and for said county, appeared Gary Allan Kemp II, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

"OFFICIAL SEAL"
TINA M. YAROVSKY
NOTARY PUBLIC, STATE OF ILLINOIS
M 4/2002

(Seal)

Notary Public

My Commission Expires: 4/2/2002

"OFFICIAL SEAL"
TINA M. YAROVSKY
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 4/2/2002

Atty. Dkt. No. 024051/0135

Executed this 25 day of August, 2000.

Jens-Uwe Schluetter

State of Illinois)
) ss.
County of Cook)

On this 25th day of August, 2000, before me, a notary public in and for said county, appeared Jens-Uwe Schluetter, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

"OFFICIAL SEAL"
TINA M. YAROVSKY
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 4/2/2002

(Seal)

Notary Public

My Commission Expires: 4/2/2002

Executed this 19 day of Sept, 2000

Harris Brumfield

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) ss.
County of Cook)

On this 19 day of Sept., 2000 before me, a notary public in and for said county, appeared Harris Brumfield, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

Notary Public

My Commission Expires: 6/27/01

(Seal)

OFFICIAL SEAL
GAYLE A HALLEN
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES:06/27/01

TT0101913

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gary Alan Kemp II, et al

Serial No.: 09/894,637

Filing Date: June 27, 2001

Docket No.: 120046-00003

TRANSMITTAL LETTER

July 31, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

MAILING CERTIFICATE UNDER 37 C.F.R. §1.8(A)
I hereby certify that the above correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on July 31, 2001.

Trish Paramore

Dear Sir:

Please change the correspondence address on the above identified patent application to:

William T. Ellis
Foley & Lardner
3000 K Street N.W. Suite 500
Washington, D.C. 20007-5109
202-672-5300 Phone
202-672-5399 Fax

If you have any further questions please contact the undersigned below.

Very truly yours,

Robert C. Klinger
Reg. No. 34,365

Robert C. Klinger
Jackson Walker L.L.P.
2435 North Central Expressway, Suite 600
Richardson, Texas 75080
Phone: (972) 744-2900 Fax: (972) 744-2909

Interview Summary	Application No. 09/894,637	Applicant(s) KEMP ET AL	
	Examiner Richard C Weisberger	Art Unit 3624	

All participants (applicant, applicant's representative, PTO personnel):

(1) *Richard C Weisberger*. (3) *Steve Borsand*.

(2) *Ankur Shaw*. (4)_____.

Date of Interview: *18 September 2002*.

Type: a)☐ Telephonic b)☐ Video Conference
c)☒ Personal [copy given to: 1)☐ applicant 2)☐ applicant's representative]

Exhibit shown or demonstration conducted: d)☒ Yes e)☐ No.
If Yes, brief description: *Trading Technologies Software*.

Claim(s) discussed: *1-21*.

Identification of prior art discussed: _____.

Agreement with respect to the claims f)☒ was reached. g)☐ was not reached. h)☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: *The subject matter of the interview was directed to a preferred embodiment of the invention. Claim language was proposed by the examiner to capture this embodiment. Agreement was reached that the applicant would file an amendment canceling claims 1-21 (without prejudice) and adding claims comprising the agreed upon language.*_____.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

i)☒ It is not necessary for applicant to provide a separate record of the substance of the interview(if box is checked).

Unless the paragraph above has been checked, THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Examiner's signature, if required

DIVIDER PAGE

From: Shah, Ankur D. <AShah@foleylaw.com>
Sent: Thursday, September 26, 2002 8:09 PM (GMT)
To: Richard.Weisberger@USPTO.GOV
Cc: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Subject: Amendments (09/894,637; 09/589,751; 09/971,087)

Richard -

We have the amendments in the three cases ready to fax to you. Please give me call and we will fax it to you immediately.

Thanks.

-Ankur D. Shah
Foley & Lardner
(202) 945-6132
ashah@foleylaw.com

The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential and/or privileged material. Any review, retransmission, dissemination or other use of, or taking of any action in reliance upon, this information by persons or entities other than the intended recipient is prohibited. If you received this in error, please contact the sender and delete the material from any computer.

From: Weisberger, Richard <Richard.Weisberger@USPTO.GOV>
Sent: Thursday, February 26, 2004 7:52 PM (GMT)
To: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Subject: RE: Unacknowledged IDS forms

I;ll have to pick this up with you tomorrow.

----Original Message----
From: Steve.Borsand@tradingtechnologies.com [mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, February 26, 2004 9:41 AM
To: Weisberger, Richard
Subject: FW: Unacknowledged IDS forms

Richard – Following up on my voicemail yesterday, below is an list of the IDS that were filed in the 590,692 and 894,637 that we have not received acknowledged forms. If they have been signed, could you fax us copies? Otherwise, we deliver copies of the forms to you. I will follow up with you by phone.

Thanks,

Steve
----Original Message----
From: Shah, Ankur D. [mailto:AShah@foley.com]
Sent: Wednesday, February 25, 2004 4:36 PM
To: 'Steven F. Borsand (steve.borsand@tradingtechnologies.com)'
Subject: Unacknowledged IDS forms

Steve:

Here is the list of IDSs by date where the corresponding 1449 or SB08 form has not been initialed and returned to us by the Examiner.

<u>09/590,692</u>
November 11, 2002
December 18, 2002
February 11, 2003
October 20, 2003
November 12, 2003

<u>09/894,637</u>
September 7, 2001
September 20, 2002
November 14, 2002
December 18, 2002
February 13, 2003
November 12, 2003

-Ankur D. Shah
Foley & Lardner
3000 K Street NW, Suite 500
Washington, DC 20007
(202) 945-6132
(202) 672-5399 (fax)
ashah@foley.com

IMPORTANT NOTICE: The preceding message may be confidential or protected by the attorney-client privilege. It is not intended for transmission to, or receipt by, any unauthorized persons. If you believe that it has been sent to you in error, do not read it. Please reply to the sender that you have received the message in error. Then destroy it. Thank you.

From: Richard.Weisberger@USPTO.GOV
Sent: Friday, March 21, 2003 4:25 PM (GMT)
To: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Subject: RE: proposed amendments

Steve -

I'm quite satisfied with the amendments. The claims reflect with great precision the various functions of TT products. This process although somewhat arduous yielded a clear and definitive set of property boundaries, without limiting the scope of the claimed inventions unnecessarily. Follow up with the amendments and email your any notes that you have prepared directed to reasons for allowance.

Richard –

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Thursday, March 20, 2003 3:58 PM
To: richard.weisberger@uspto.gov
Subject: proposed amendments

Richard - Here are the proposed amendments in the 3 cases. The first file goes with the 590,692 case, the second is the 894,637 and the third is 589,751. The documents have redlined turned on to show the differences with the previous claims and which dependent claims are new. In the '751, the document contains just each independent claim and the changes thereto.

I will call you shortly.

Steve

<<692claimsamended.doc>> <<637claimsamend.doc>> <<751amend.doc>>

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Friday, April 25, 2003 4:00 PM (GMT)
To: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Subject: RE: 09/590,692 et al.

Yes. The cases are scheduled to be reviewed within the three weeks. Again, I do foresee any issues, as I am co-editing with the reviewer an internal news letter on the patent board's business method decisions. We have a very strong working relationship.

Richard --

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Friday, April 25, 2003 10:14 AM
To: richard.weisberger@uspto.gov
Subject: 09/590,692 et al.

Richard -- Did you find anything out yesterday re: the status of our cases in quality review?

Thanks, Steve

Steven F. Borsand
Vice President, Intellectual Property
Trading Technologies, Inc.
ph: +1.312.476.1018
fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Richard.Weisberger@USPTO.GOV
Sent: Wednesday, March 19, 2003 7:54 PM (GMT)
To: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Subject: RE: 09/590,692 et al.

Steve -

I'll need to back up our interview to 5:00.

Richard --

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Wednesday, March 19, 2003 12:06 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

I am faxing them right now.

-----Original Message-----
From: Richard.Weisberger@USPTO.GOV [mailto:Richard.Weisberger@USPTO.GOV]
Sent: Wednesday, March 19, 2003 10:32 AM
To: Steve.Borsand@tradingtechnologies.com
Subject: RE: 09/590,692 et al.

Steve,

The RCE requests for 09/590,692 and 09/894,637 have not been matched to their files. Can you fax a copy to me at 703 872 9025?

-----Original Message-----
From: Steve.Borsand@tradingtechnologies.com
[mailto:Steve.Borsand@tradingtechnologies.com]
Sent: Tuesday, March 18, 2003 4:24 PM
To: Richard.Weisberger@uspto.gov
Subject: RE: 09/590,692 et al.

Richard -- I was hoping we can pick a time tomorrow to talk. I can be available any time that is good for you.

Thanks,

Steve

Steven F. Borsand
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ph: +1.312.476.1018
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steve.borsand@tradingtechnologies.com

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To: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Subject: RE: 09/590,692 et al.

Steve -

Please consider the following amendment in combination -

said dynamic display of bids and asks traversing said static price column in response to changes in the inside market,

said column static price axis responsive to a one click centering feature that re-centers the inside market of the traders screen,

Richard -

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fax: +1.312.476.1182
steve.borsand@tradingtechnologies.com

From: Steve Borsand (TT) <Steve.Borsand@tradingtechnologies.com>
Sent: Friday, June 4, 2004 4:04 PM (GMT)
To: richard.weisberger@uspto.gov
Subject: 09/894,637

Richard -- I left you a voicemail as well. Just checking into the status of the search for the file. I would like to hear something back asap. I am thinking about sending a patent agent from our company out to the patent office first thing next week to make sure everything is in order with the two files in which we paid the issue fee. Please call me at 312-476-1018.

Steve

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